

# U.S. Department of Homeland Security Annual Performance Report

Fiscal Years 2011 – 2013



Homeland  
Security

## *Our Vision*

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*A homeland that is safe, secure, and resilient  
against terrorism and other hazards.*

### **About this Report**

The U.S. *Department of Homeland Security Annual Performance Report for Fiscal Years (FY) 2011 – 2013* presents the Department's performance measures and applicable results, associated performance targets for FY 2012 and FY 2013, and provides information on the Department's Priority Goals.

For FY 2011, the Department is using the alternative approach—as identified in the Office of Management and Budget's Circular A-136—to produce its Performance and Accountability Reports, which consists of the following three reports:

- ***DHS Annual Financial Report:*** Publication date – November 11, 2011.
- ***DHS Annual Performance Report:*** Publication date – February 13, 2012. The *DHS Annual Performance Report* is submitted with the Department's Congressional Budget Justification.
- ***DHS Summary of Performance and Financial Information:*** Publication date – February 13, 2012.

When published, all three reports will be located on our public website at:  
[http://www.dhs.gov/xabout/budget/editorial\\_0430.shtm](http://www.dhs.gov/xabout/budget/editorial_0430.shtm).

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**Homeland  
Security**



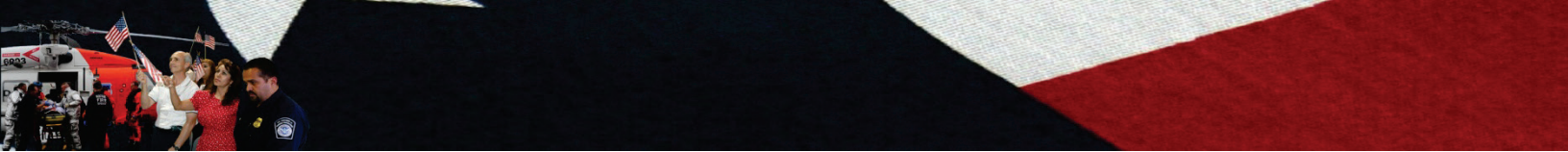


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## Introduction

The U.S. *Department of Homeland Security (DHS) Annual Performance Report (APR) for Fiscal Years 2011 – 2013* presents the Department’s performance measures and applicable results for FY 2011, associated performance targets for FY 2012 and FY 2013, and information on the Department’s Priority Goals.

The APR is part of the Office of Management and Budget’s ([OMB](#)) alternative approach to the consolidated Performance and Accountability report and is submitted as part of DHS’s FY 2013 Congressional Budget Justification. This report also satisfies the *Government Performance and Results Act (GPRA)* and the *GPRA Modernization Act of 2010* requirement to publish the Department’s Annual Performance Plan.

## Missions and Responsibilities for Homeland Security

This report is organized around DHS’s major missions and responsibilities within the framework of the Quadrennial Homeland Security Review ([QHSR](#)) and the subsequent structure developed in the DHS Bottom-Up Review ([BUR](#)). In each mission area identified in the BUR, we have continued to grow and mature as a department by strengthening our existing capabilities, building new ones where necessary, enhancing our partnerships across all levels of government and with the private sector, and streamlining our operations and increasing efficiency.

Eight years since the Department’s creation and ten years after the September 11, 2001 terrorist attacks, the results are clear: we have helped build a more effective and integrated Department, a strengthened homeland security enterprise, and a more secure America that is better equipped to confront the range of evolving threats we face. A summary of our missions and responsibilities follows.

### ***Mission 1: Preventing Terrorism and Enhancing Security***

Protecting the United States from terrorism is the cornerstone of homeland security. DHS’s counterterrorism responsibilities focus on three goals: preventing terrorist attacks; preventing the unauthorized acquisition, importation, movement, or use of chemical, biological, radiological, and nuclear materials and capabilities within the United States; and reducing threats to and vulnerability of critical infrastructure, key resources, essential leadership, and major events from terrorist attacks and other hazards.

### ***Mission 2: Securing and Managing Our Borders***

The protection of the Nation’s borders—land, air, and sea—from the illegal entry of people, weapons, drugs, and other contraband while facilitating lawful travel and trade is vital to homeland security, as well as the Nation’s economic prosperity. The Department’s border security and management efforts focus on three interrelated goals: effectively securing U.S. air, land, and sea borders; safeguarding and streamlining lawful trade and travel; and disrupting and dismantling transnational criminal and terrorist organizations.



### ***Mission 3: Enforcing and Administering Our Immigration Laws***

The success of our Nation’s immigration policy plays a critical role in advancing homeland security. DHS is focused on smart and effective enforcement of U.S. immigration laws while streamlining and facilitating the legal immigration process. The Department has fundamentally reformed immigration enforcement, focusing on identifying and removing criminal aliens who pose a threat to public safety and targeting employers who knowingly and repeatedly break the law.

### ***Mission 4: Safeguarding and Securing Cyberspace***

Cyberspace is highly dynamic and the risks posed by malicious cyber activity often transcend sector and international boundaries. Today’s threats to cybersecurity require the engagement of the entire society—from government and law enforcement to the private sector and most importantly, members of the public—to mitigate malicious activities while bolstering defensive capabilities.

DHS is responsible for protecting the federal executive branch civilian agencies and guiding the protection of the nation’s critical infrastructure. This includes the “dot-gov” world, where the government maintains essential functions that provide services to the American people, as well as privately owned critical infrastructure which includes the systems and networks that support the financial services industry, the energy industry, and the defense industry.

### ***Mission 5: Ensuring Resilience to Disasters***

DHS coordinates comprehensive federal efforts to prepare for, protect against, respond to, recover from, and mitigate a terrorist attack, natural disaster or other large-scale emergency, while working with individuals, communities, the private and nonprofit sectors, faith-based organizations, local, state, tribal, territorial and federal partners to ensure a swift and effective recovery effort. The Department’s efforts to build a ready and resilient Nation include fostering a Whole Community approach to emergency management nationally; building the Nation’s capacity to stabilize and recover from a catastrophic event; bolstering information sharing and building unity of effort and common strategic understanding among the emergency management team; building plans and providing training to our homeland security partners; and promoting preparedness within the private sector.

### ***Providing Essential Support to National and Economic Security***

Homeland security is an integral element of broader U.S. national security and domestic policy. It is not, however, the only element. The *National Security Strategy* clearly identifies national defense and economic security as other elements—along with homeland security—of overall U.S. national security. DHS leads and supports many activities that provide essential support to national and economic security including, but not limited to: maximizing collection of customs revenue; maintaining the safety and security of the marine transportation system; preventing the exploitation of children; providing law enforcement training; and coordinating the Federal Government’s response to global intellectual property theft. DHS contributes in many ways to these elements of broader U.S. national and economic security while fulfilling its homeland security missions.





## Performance Management Framework in DHS

DHS has created a robust performance framework that drives performance management and enables the implementation of performance initiatives and the reporting of results within the Department on a comprehensive set of measures that are aligned with the mission outcomes articulated in the QHSR and the Bottom-Up Review. This framework consists of a performance community, an annual process to review and improve performance measurement, and a verification and validation process. The framework also incorporates quarterly reporting of measure data, and quarterly performance reviews by the Chief Operating Officer. Finally, the performance management framework integrates with the Department's Planning, Programming, Budgeting, and Execution (PPBE) process to develop an integrated performance budget.

### Performance Community

The DHS performance community is led by the Performance Improvement Officer (PIO), supported by the Office of Program Analysis and Evaluation, the Performance Action Team, and Performance staff from across the Department and the Components. The Performance Action Team is comprised of the chiefs of the lines of business and other senior leaders who work with the PIO to manage cross-cutting initiatives issued by the White House and Office of Management and Budget, such as the new Executive Order on *Delivering an Efficient, Effective, and Accountable Government*. The PIO is also supported by staff from across the Department which consists of performance analysts from each of our Components and headquarters organizations who are primarily responsible for performance data collection, reporting, and analysis within the Department. This performance community, along with the Chief Operating Officer, drives performance management in DHS.

### Annual Process to Review and Improve Performance Measurement

With the issuance of the BUR in July of 2010, DHS leadership led a comprehensive effort to recast the performance measures to gauge results associated with our new mission framework. Many new measures were designed to inform stakeholders on how DHS is delivering results associated with its missions. DHS will be reporting results for many of these measures for the first time in this report. DHS continues to face measurement challenges in gauging a mission focused on prevention and deterrence. As such, the PIO directed the Office of Program Analysis and Evaluation, supported by senior DHS leadership, to continue to lead an annual performance measurement improvement process to develop the right measures that are more effective at conveying the results delivered by programs to meet our mission.

### Verification and Validation Process

The Department recognizes the importance of collecting complete, accurate, and reliable performance data, as this helps determine progress toward achieving program and Department goals and objectives. Performance data are considered reliable if transactions and other data that support reported performance measures are properly recorded, processed, and summarized to permit the preparation of performance information in accordance with criteria stated by management. [OMB Circular A-136](#), Financial Reporting Requirements, and the [Reports Consolidation Act of 2000](#)



(P.L. No. 106-531) further delineates this responsibility, by requiring that the agency head attests to the completeness and reliability of the performance data they report.

The verification and validation of performance measure data is intended to increase the accuracy of the performance data. As such, DHS implemented a two-pronged approach to effectively mitigate risks and reinforce processes that enhance DHS's ability to report complete and reliable data for performance measure reporting. This approach consists of: 1) the GPRA Performance Measure Checklist for Completeness and Reliability; and 2) independent assessment of the completeness and reliability of GPRA performance measures.

### **GPRA Performance Measure Checklist for Completeness and Reliability**

The GPRA Performance Measure Checklist for Completeness and Reliability is used by Components to self-evaluate key controls over GPRA performance measure planning and reporting information. For each key control, Components are required to describe their control activities and provide their assessment regarding their level of achievement at the end of each fiscal year. Components also factor the results of any internal or independent measure assessments into their rating. The GPRA Performance Measures Checklist for Completeness and Reliability supports the Component Head assurance statements attesting to the completeness and reliability of the performance data. Individual Component Head assurance statements serve as the primary basis for the Secretary's assertion whether or not the Department has effective controls over financial and performance reporting as well as the efficiencies of our operations.

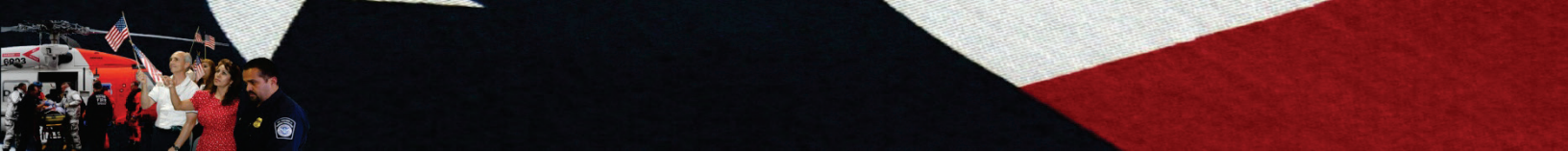
### **Independent Assessment of the Completeness and Reliability of GPRA Performance Measures**

DHS conducts an independent assessment of performance measure data on a sample of its performance measures annually using an independent review team. The independent review team assesses selected measures using the methodology prescribed in the DHS Performance Measure Verification and Validation Handbook. The Handbook is distributed to all Components to encourage the development and maturation of internal data verification and validation capabilities, increase transparency, and facilitate the review process. The assessment team documents their findings and makes recommendations for improvement. Components are encouraged to implement recommendations to the greatest extent practicable, and mandatory corrective actions are required to address unreliable measures. DHS has shared their process with other agencies in support of their verification and validation improvement efforts.

### **Management Assurance**

The Management Assurance Process during FY 2011 required that all Component Heads in DHS assert that performance measure data reported in the Department's Performance and Accountability Reports are complete and reliable. Except for the measures listed below, all performance information is complete and reliable:

- Performance Measure: Percent of countermeasures that are determined to be in compliance with standards when tested in federal facilities (NPPD)



- The tool used to evaluate the countermeasure effectiveness was suspended in FY 2011. No data is or will be available for this measure for FY 2011. NPPD is working to put in place a manual process to capture data until a replacement tool is developed and deployed. For more information, see page 12.
- Performance Measure: Percent of young adults with sufficient level of cybersecurity awareness (NPPD)
  - The survey question upon which this measure was based was discontinued by the Federal Trade Commission (FTC) and the National Cyber Security Alliance. NPPD is working to establish an implementation plan and measurement strategy to gauge awareness. For more information, see page 26.

## Quarterly Reporting and Reviews

DHS is committed to increasing the use of performance information to inform decision-making. The Department produces quarterly reports to promote transparency and provide timely information to leadership on program performance. These quarterly reports not only provide actual performance results to date, but also an assessment by program managers of whether they believe they are going to achieve their targets by the end of the fiscal year. If it appears that targets may not be met, program managers are encouraged to initiate corrective actions to address program performance. At the end of the fiscal year, program managers report fiscal year-end results, along with analyses of their results and corrective action plans for those performance measures not meeting their targets. In addition, out-year targets are evaluated and revised at this time based on actual performance during the prior fiscal year, expected resources, and external conditions that may impact the delivery of results. These performance results and targets are then incorporated into the Department's annual budget, financial, and performance reports.

During FY 2011, the Department also implemented a quarterly review process of performance information, led by the Chief Operating Officer in accordance with the *GPR Modernization Act of 2010*. The initial emphasis of these meetings has been the review of the Department's Priority Goals, a set of ambitious, but realistic goals that reflect short-term priorities within our mission areas.

## PPBE and the Performance Budget

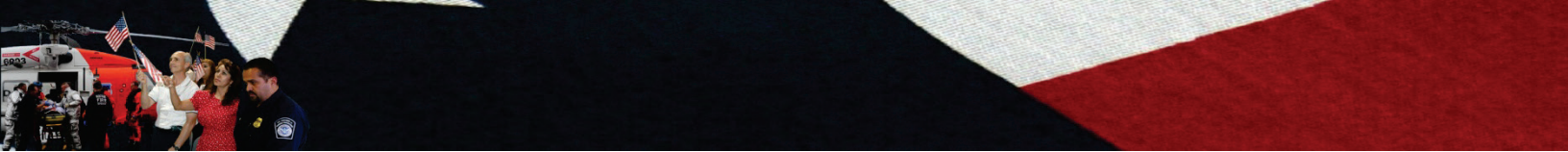
Performance management is relevant to each stage of the Department's Planning, Programming, Budgeting, and Execution (PPBE) process. In *Planning*, goal setting, risk assessment, and mission scoping are conducted to determine and prioritize the capabilities necessary to meet the needs of the Department in light of current performance. In *Programming*, resources are allocated to best meet the prioritized needs within projected resources, considering potential performance gains in the process. In *Budgeting*, budget estimates are developed ensuring the efficient and effective use of funding to meet priorities; the planned levels of performance are integrated with the levels of funding requested. Finally, in *Execution*, program execution and performance results are compared to plans to assess accomplishments, shortfalls, and inform future planning and performance targets. PPBE is an annual process that serves as the basis for developing the Department's *Future Years*





*Homeland Security Program (FYHSP), in accordance with the provisions of the Homeland Security Act of 2002.*

As the performance budget is formulated through the PPBE process, consideration for setting planned performance targets is made based on a variety of factors. First, analysis of the previous year's performance is a major factor in predicting likely performance in the future. Second, consideration is given to the funding requested for the program and how that relates to level of performance that can be delivered. Third, environmental factors play a large role in the delivery of performance results, potentially both in terms of the physical environment in which the program functions, and the operational environment under which it delivers results. Lastly, other factors such as impending legislation or program implementation changes are taken into consideration when projecting future performance targets. As many of the considerations listed above are unknowns, this process becomes less precise the farther one projects into the future. Program managers use their expertise and judgment to make performance target proposals, which are then reviewed and approved, in light of the resource request and other factors, by both DHS leadership and the Office of Management and Budget. This process provides a vehicle for DHS leadership to review and manage strategies and achievement of missions as required by the *GPR Modernization Act of 2010*.



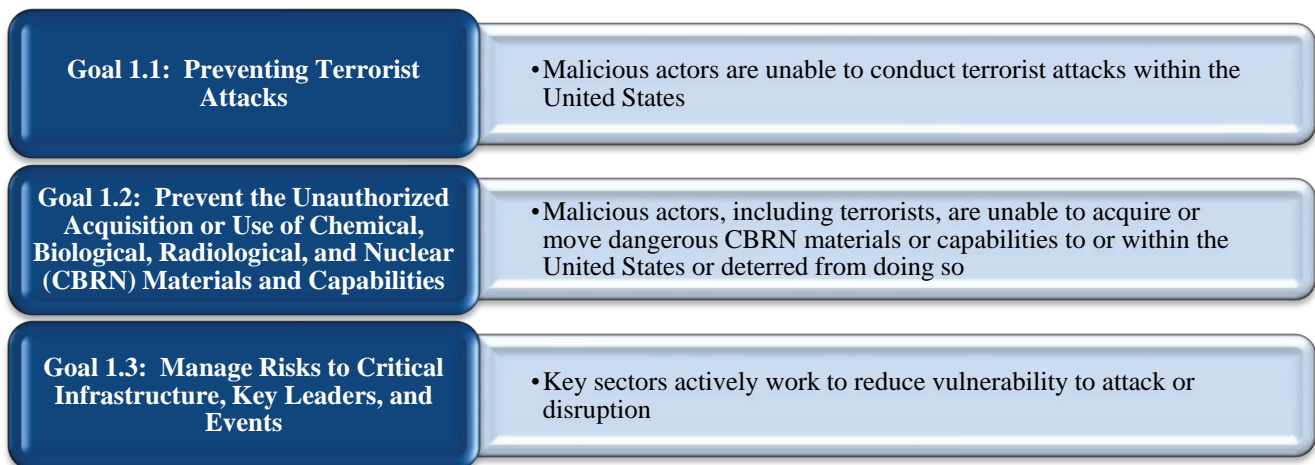
## Performance by Mission

This section of the Annual Performance Report provides an analysis of the Department's missions and responsibilities. Each section will include the goals and the performance measures to assess our success in accomplishing each goal. Also included are highlights of DHS's accomplishments across the mission areas in FY 2011.

### Mission 1: Preventing Terrorism and Enhancing Security

Protecting the United States from terrorism is the cornerstone of homeland security. DHS's counterterrorism responsibilities focus on three goals: preventing terrorist attacks; preventing the unauthorized acquisition, importation, movement, or use of chemical, biological, radiological, and nuclear materials and capabilities within the United States; and reducing threats to and vulnerability of critical infrastructure, key resources, essential leadership, and major events from terrorist attacks and other hazards.

We will achieve this mission through meeting the following goals:





## DHS Performance

In FY 2011, there were 19 performance measures used to assess the Department's efforts in *Mission 1: Preventing Terrorism and Enhancing Security*. For the FY 2012 – 2013 plan, one new measure is being introduced. Detailed results for each performance measure are provided in the following tables.

**Table 1: Performance Measures for Goal 1.1: Preventing Terrorist Attacks**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to understand the threat (AO)	---	---	---	---	---	80%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							
Percent of air carriers operating from domestic airports in compliance with leading security indicators (TSA)	96%	98%	98%	100%	99.2%	100%	100%
Explanation: Air carrier compliance remains at a consistent high level with year-over-year improvement. TSA communicates inspection findings to air carriers for corrective action and where compliance is below acceptable levels, TSA conducts additional inspection and assessment activities to bring the air carrier into full compliance.							
Percent of international air enplanements vetted against the terrorist watch list through Secure Flight (TSA)	---	---	---	100%	100%	100%	100%
Percent of inbound air cargo screened on international passenger flights originating from outside the United States and Territories (TSA)	---	---	---	New Measure		85%	100%
Percent of domestic air enplanements vetted against the terrorist watch list through Secure Flight (TSA)	---	---	---	100%	100%	100%	100%
Average number of days for DHS Traveler Redress Inquiry Program (TRIP) redress requests to be closed (TSA)	---	---	---	< 100	99	< 97	< 95
Percent of air cargo screened on commercial passenger flights originating from the United States and territories (TSA)	---	---	---	100%	100%	100%	100%





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of law enforcement officials trained in methods to counter terrorism and other violent acts that rate the training as effective (DHS HQ - CRCL)	---	---	---	80%	84%	82%	84%
Explanation: While the program expects to continue providing a robust and successful training program in 2012, fluctuations in staffing and substantial course modifications based on external factors could significantly impact results.							

Below is a highlighted accomplishment demonstrating success in *Preventing Terrorism and Enhancing Security*.



### TSA Installs New Privacy Enhancing Software

As part of its commitment to maintain a high level of security while enhancing passenger privacy, the Transportation Security Administration (TSA) is currently in the process of installing new software to further strengthen the privacy protections on its Advanced Imaging Technology (AIT) machines. The software, called Automated Target Recognition (ATR), will auto-detect items that could pose a threat using a generic outline of a person for all passengers, eliminating passenger-specific images.

“Our top priority is the safety of the traveling public, and TSA constantly strives to explore and implement new technologies that enhance security and strengthen privacy protections for the traveling public,” TSA Administrator John Pistole said. “This software upgrade enables us to continue providing a high level of security through advanced imaging technology screening, while improving the passenger experience at checkpoints.”

AIT safely screens passengers for both metallic and non-metallic threats, including weapons and explosives. AIT has been evaluated and determined to be safe for all passengers by the Food and Drug Administration, National Institute for Standards and Technology and Johns Hopkins University Applied Physics Laboratory.

**Table 2: Performance Measures for Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to anticipate emerging threats (AO)	---	---	---	---	---	80%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of containerized cargo conveyances that pass through fixed radiation portal monitors at sea ports of entry (DNDO)	---	---	FOUO	FOUO	FOUO	FOUO	FOUO
Explanation: In FY 2010, this measure was worded as: Percent of high-risk containerized cargo conveyances that pass through fixed radiation portal monitors at sea ports of entry. This measure is For Official Use Only (FOUO) and met its target in FY 2011.							
Percent of cargo conveyances that pass through radiation detection systems upon entering the nation via land border and international rail ports of entry (DNDO)	---	---	FOUO	FOUO	FOUO	FOUO	FOUO
Explanation: In FY 2010, this measure was worded as: Percent of high-risk cargo conveyances that pass through radiation detection systems upon entering the nation via land border and international rail ports of entry. This measure met its target in FY 2011.							
Percent of inspected high-risk chemical facilities in compliance with the Chemical Facility Anti-terrorism Standards (NPPD)	---	---	---	10%	9.1%	20%	35%
Explanation: The deviation from the performance target was slight and attributable to scheduled authorization inspections in September 2011 being postponed due to Hurricane Irene. There was no effect on overall program performance. This program is in the early stages of implementation and targets will continue to increase.							
Percent of targeted urban areas that are monitored for biological threats using BioWatch technology (OHA)	---	---	---	100%	100%	100%	100%

**Table 3: Performance Measures for Goal 1.3: Manage Risks to Critical Infrastructure, Key Leadership, and Events**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of owner/operators of critical infrastructure and key resources who report that the products provided by Infrastructure Protection enhance their understanding of the greatest risks to their infrastructure (NPPD)	---	---	---	---	---	75%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of facilities that have implemented at least one security enhancement that raises the facility's protective measure index score after receiving an Infrastructure Protection vulnerability assessment or survey (NPPD)	---	---	---	15%	61%	50%	55%
Explanation: While the program will strive to improve critical facility security, results are based on voluntary implementation of security enhancements by owner/operators and are influenced by a variety of external factors such as the economic environment, which may cause fluctuations in the rate of implementation.							
Percent of countermeasures that are determined to be in compliance with standards when tested in federal facilities (NPPD)	94%	94.4%	96.2%	100%	N/A	N/A	95%
Explanation: The tool used to evaluate the countermeasure effectiveness was suspended in FY 2011; therefore, the program is unable to provide data for FY 2011. The program has started the modification of a new tool which will not be available until the end of FY 2012. Therefore the FY 2012 target has been postponed and the program will resume reporting results for this measure in FY 2013.							
Percent of tenants satisfied with the level of security provided at federal facilities (NPPD)	---	---	---	82%	77.8%	83%	84%
Explanation: Tenant satisfaction fell uniformly across the regions where NPPD's Federal Protective Service (FPS) provides services. FPS is updating its Memorandum of Agreement with GSA to clarify services and is conducting education and outreach to ensure customers understand FPS services and responsibilities.							
Percent of domestic airports that comply with established aviation security indicators (TSA)	95%	95%	96%	100%	95.9%	100%	100%
Explanation: Although the target of 100 percent was not met in FY 2011, TSA continues to improve the security posture at the Nation's airports, with 95.9 percent of airports compliant with established aviation security indicators. The FY 2011 results fell below last year's results due to more rigorous airport security requirements.							
Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security (TSA)	23%	23%	23%	40%	28%	75%	80%
Explanation: Transit agencies are assessed every three years. The Transportation Security Inspectors for Surface assess a percentage of the transit agencies each year and it takes approximately six years for all transit agencies assessed to demonstrate that vulnerabilities identified in the first assessment have been addressed. Improvements made by an agency would not be captured until the following cycle of assessments. Progress has been made toward the target; however, sustained progress is contingent on funding available to state and local agencies.							
Percent of currency identified as counterfeit (USSS)	0.0086%	0.0081%	0.0087%	<0.0099%	0.0078%	<0.0098%	<0.0090%





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Financial crimes loss prevented through a criminal investigation (in billions) (USSS)	\$1.96	\$1.28	\$6.56	\$1.90	\$4.846	\$1.40	\$1.80
Percent of total U.S. Secret Service protection activities that are incident-free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities (USSS)	100%	100%	100%	100%	100%	100%	100%
Percent of National Special Security Events that were successfully completed (USSS)	---	---	---	100%	100%	100%	100%

Below is a highlighted accomplishment demonstrating success in *Preventing Terrorism and Enhancing Security*.

### National Terrorism Advisory System



In April 2011, Secretary Napolitano announced the implementation of DHS's National Terrorism Advisory System (NTAS)—a robust terrorism advisory system that provides timely information to the public about credible terrorist threats—which replaces the former color-coded alert system. During the announcement, DHS released a [guide](#) outlining the new system to the American public, along with an [example](#) of an NTAS Alert that would be issued to the public if the government were to receive information about a specific or credible terrorist threat.

NTAS is designed to more effectively communicate information about terrorist threats by providing timely, detailed information and recommended security measures to the public, government agencies, first responders, airports and other transportation hubs, and the private sector.

Under NTAS, DHS will coordinate with other federal entities to issue detailed alerts to the public when the Federal Government receives information about a specific, credible terrorist threat to the United States. NTAS alerts provide a concise summary of the potential threat, which may include a geographic region, mode of transportation, or critical infrastructure potentially affected by the threat; actions being taken to ensure public safety; and recommended steps that individuals, communities, business and governments can take to help prevent, mitigate or respond to a threat. NTAS Alerts contain a sunset provision indicating a specific date when the alert expires.



## Mission 2: Securing and Managing Our Borders

The protection of the Nation’s borders—land, air, and sea—from the illegal entry of people, weapons, drugs, and other contraband while facilitating lawful travel and trade is vital to homeland security, as well as the Nation’s economic prosperity. The Department’s border security and management efforts focus on three interrelated goals: effectively securing U.S. air, land, and sea borders; safeguarding and streamlining lawful trade and travel; and disrupting and dismantling transnational criminal and terrorist organizations.

We will achieve this mission through meeting the following goals:

<b>Goal 2.1: Secure U.S. Air, Land, and Sea Borders</b>	<ul style="list-style-type: none"> <li>• Prevent the illegal flow of people and goods across U.S. air, land, and sea borders while expediting the safe flow of lawful travel and commerce</li> </ul>
<b>Goal 2.2: Safeguard Lawful Trade and Travel</b>	<ul style="list-style-type: none"> <li>• Ensure security and resilience of global movement systems</li> </ul>
<b>Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations</b>	<ul style="list-style-type: none"> <li>• Disrupt and dismantle transnational organizations that engage in smuggling and trafficking across the U.S. border</li> </ul>

### DHS Performance

In FY 2011, there were 13 performance measures used to assess the Department’s efforts in *Mission 2: Securing and Managing Our Borders*. For the FY 2012 – 2013 plan, two new measures are being introduced and two measures are being retired. Detailed results for each performance measure are provided in the following tables.

**Table 4: Performance Measures for Goal 2.1: Secure U.S. Air, Land, and Sea Borders**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Number of apprehensions on the Southwest Border between the ports of entry (CBP)	705,022	540,851	447,731	≤ 390,000	327,577	≤ 371,000	≤ 352,000
Percent of projected deployments of Border Patrol agents to the Southwest border completed (CBP)	---	---	---	100%	100%	Retired Measure	



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Explanation: This measure is being retired as it was based on supplemental legislation that authorized CBP to hire 1,000 additional Border Patrol agents and is complete.							
Number of joint operations conducted along the Southwest Border by Border Patrol Agents and Mexican law enforcement partners (CBP)	---	---	---	9	12	Retired Measure	
Explanation: In FY 2010, this measure was worded as: Number of joint operations conducted along the Southwest Border by CBP and Mexican law enforcement partners. Although this measure is being retired from the performance plan, it will be maintained internally.							
Percent of detected conventional aircraft incursions resolved along all borders of the United States (CBP)	---	---	---	100%	95.3%	100%	100%
Explanation: The program will continue to evaluate and improve tactics, techniques, and procedures where possible in order to bring individuals that commit illegal incursions to a successful law enforcement resolution.							
Number of weapons seized on exit from the United States (CBP)	---	---	---	2,200	1,987	2,100	2,000
Explanation: Outbound weapons seizures vary substantially in size (number of weapons). There was a downturn in the number of large weapons seizures in FY 2011 as compared to FY 2010, particularly during the second half of the year, which impacted the cumulative total number of weapons seized for the year. CBP will continue partnerships with other law enforcement agencies (both local and international partners) to identify and disrupt outbound smuggling activities.							
Amount of currency seized on exit from the United States (in millions) (CBP)	---	---	---	\$40	\$47	\$35	\$30



Below is a highlighted accomplishment demonstrating success in *Securing and Managing Our Borders*.



### SBInet Assessment Leads to New Border Technology Plan

In 2010, Secretary Napolitano directed a Department-wide assessment to determine if SBInet was the most efficient, effective and economical border security technology strategy available. This assessment—which combined an independent, quantitative, science-based review with the input of U.S. Border Patrol agents on the front lines and the Department’s leading science and technology experts from the Science and Technology Directorate—made clear that SBInet cannot meet its original objective of providing a one-size-fits-all border security technology solution.

As a result, in 2011 Secretary Napolitano directed CBP to end SBInet as originally conceived and instead implement a new border security technology plan, which will use existing, proven technology tailored to the distinct terrain and population density of each border region, including commercially available mobile surveillance systems, unmanned aircraft systems, thermal imaging devices, and tower-based remote video surveillance systems. Where appropriate, this plan will also incorporate already existing elements of the former SBInet program that have proven successful, such as stationary radar and infrared and optical sensor towers.

The new plan will use funding previously requested for SBInet and provided in the FY 2011 continuing resolution. CBP intends to acquire all the technologies in the new plan, including the integrated fixed towers, through full and open competition. Independent, quantitative, science-based assessments will continue along each sector of the Southwest Border in 2011 to determine the optimal combination of technology for each region.

**Table 5: Performance Measures for Goal 2.2: Safeguard Lawful Trade and Travel**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Compliance rate for Customs-Trade Partnership Against Terrorism (C-TPAT) members with the established C-TPAT security guidelines (CBP)	99.9%	97.5%	97.8%	100%	95.1%	100%	100%
Explanation: In FY 2011, CBP strengthened the C-TPAT validation process, implementing new suspension and removal guidelines standards and increasing management oversight, which caused the overall compliance rate to fluctuate. CBP is working with partner companies to continue to explain the enhanced security criteria and ensure they understand the validation requirements.							
Percent of requested cargo examinations conducted at foreign ports of origin in cooperation with host nations under the Container Security Initiative (CBP)	---	---	---	100%	96%	100%	100%
Explanation: Examination rates depend on a number of factors outside of CBP operational control, including host port logistics, procedures, and installed equipment and technology. CBP continually works with host ports to resolve examination issues as they arise. All cargo identified as high-risk that is not examined by the CSI host nation is examined upon arrival at the U.S. port of entry.							





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of inbound high-risk cargo transported by air, land, or sea that has been screened and entry status is resolved prior to or during processing at a United States port of entry (CBP)	---	---	---	New Measure		FOUO	FOUO
Percent of cargo by value imported to the U.S. by participants in CBP trade partnership programs (CBP)	---	---	---	45%	55.07%	45%	45.5%
Percent of imports compliant with applicable U.S. trade laws (CBP)	---	---	---	98%	97.67%	98%	98%
Explanation: Results reflect computations conducted in October 2011 and will not be considered final until a required, independent, post-audit compliance review is completed. Final results will be available in February 2012. The deviation from the target was slight and there was no effect on overall program performance. CBP will target identified high-risk areas that are contributing to the lower compliance rate.							
Percent of air carriers operating flights from foreign airports that serve as last point of departure to the U.S. in compliance with leading security indicators (TSA)	---	---	---	100%	85%	100%	100%
Explanation: Through a corrective action process led by TSA, all air carriers were apprised of inspection findings and resolution measures required. All air carriers will be reinspected in FY 2012 to determine if remediation actions have been implemented.							
Percent of foreign airports serving as last point of departure in compliance with leading security indicators (TSA)	---	---	---	100%	95.3%	100%	100%
Explanation: The Department strives to ensure measures regarding safety and security are always at 100 percent. Compliance is the responsibility of a sovereign nation and the non-compliance may be due to a variety of factors. TSA engages with foreign governments on numerous levels to ensure that appropriate resolutions are identified.							
Percent of maritime facilities in compliance with security regulations as they have not received a notice of violation and/or civil penalty (USCG)	---	---	---	100%	99.9%	100%	99%
Explanation: The deviation from the target was slight and there was no effect on overall program performance.							



Below is a highlighted accomplishment demonstrating success in *Securing and Managing Our Borders*.

### Enhancing Partnerships with Canada to Promote Northern Border Security

In February 2011, President Obama and Prime Minister Harper released, “Beyond the Border: A Shared Vision for Perimeter Security and Economic Competitiveness,” which articulates a shared vision in which our countries work together to address threats at the earliest point possible while facilitating the legitimate movement of people, goods, and services into our countries and across our shared border.



Through the Integrated Cross-Border Maritime Law Enforcement Operations Shiprider agreement, DHS and Canadian joint law enforcement can leverage efforts to bolster cross-border security operations. This agreement enables the Royal Canadian Mounted Police, U.S. Coast Guard, CBP, and ICE to cross-train, share resources and personnel, and use each others’ vessels in the waters of both countries. The Border Patrol, ICE, USCG, Canadian law enforcement, and other federal partners also collaborate through Integrated Border Enforcement Teams, which work to identify, investigate, and interdict individuals and organizations that may pose a threat to national security or are engaged in organized criminal activity along the Northern Border.

**Table 6: Performance Measures for Goal 2.3: Disrupt and Dismantle Transnational Criminal Organizations**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of significant high-risk transnational criminal investigations that result in a disruption or dismantlement (ICE)	---	---	---	New Measure		16%	16%



## Mission 3: Enforcing and Administering Our Immigration Laws

The success of our Nation’s immigration policy plays a critical role in advancing homeland security. DHS is focused on smart and effective enforcement of U.S. immigration laws while streamlining and facilitating the legal immigration process. The Department has fundamentally reformed immigration enforcement, focusing on identifying and removing criminal aliens who pose a threat to public safety and targeting employers who knowingly and repeatedly break the law.

We will achieve this mission through meeting the following goals:

<b>Goal 3.1: Strengthen and Effectively Administer the Immigration System</b>	<ul style="list-style-type: none"> <li>• Promote lawful immigration, expedite administration of immigration services, and promote the integration of lawful immigrants into American society</li> </ul>
<b>Goal 3.2: Prevent Unlawful Immigration</b>	<ul style="list-style-type: none"> <li>• Reduce conditions that encourage foreign nationals to illegally enter and remain in the United States, while identifying and removing those who violate our laws</li> </ul>

### DHS Performance

In FY 2011, there were 17 performance measures used to assess the Department’s efforts in *Mission 3: Enforcing and Administering Our Immigration Laws*. For the FY 2012 – 2013 plan, two new measures are being introduced and two measures are being retired. Detailed results for each performance measure are provided in the following tables.

**Table 7: Performance Measures for Goal 3.1: Strengthen and Effectively Administer the Immigration System**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Average customer satisfaction rating with information provided about legal immigration pathways from USCIS call centers (USCIS)	---	---	---	70%	84%	80%	80%
Explanation: The targets previously published as 70 percent in the FY 2010 – 2012 Annual Performance Report were changed to 80 percent based on FY 2011 results. In addition, based on the American Customer Satisfaction Index, 80 percent is significantly above the government average and is considered a “superior” score based on industry standards.							
Overall customer service rating of the immigration process (USCIS)	---	---	---	70%	80%	80%	80%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
<p>Explanation: The targets previously published as 70 percent in the FY 2010 – 2012 Annual Performance Report were changed to 80 percent based on FY 2011 results. In addition, based on the American Customer Satisfaction Index, 80 percent is significantly above the government average and is considered a “superior” score based on industry standards.</p>							
Percent of Form I-485, Application to Register for Permanent Residence or to Adjust Status, approval decisions determined by quarterly quality reviews to have correctly followed established adjudication procedures (USCIS)	---	---	91%	91%	91%	88%	88%
<p>Explanation: The deviation from the target was slight and there was no effect on overall program performance. In FY 2010, this measure was worded as: Percent of Form I-485, Application to Register for Permanent Residence or to Adjust Status, decisions determined by quarterly quality reviews to have been adjudicated correctly. In addition, the targets previously published as 92 percent in the FY 2010 – 2012 Annual Performance Report were changed to 88 percent to account for the variability in results based on sample size.</p>							
Percent of Form N-400, Application for Naturalization, approval decisions determined by quarterly quality reviews to have correctly followed established adjudication procedures (USCIS)	---	---	97%	96%	95%	93%	93%
<p>Explanation: The deviation from the target was slight and there was no effect on overall program performance. In FY 2010, this measure was worded as: Percent of Form N-400, Application for Naturalization, decisions determined by quarterly quality reviews to have been adjudicated correctly. In addition, the targets previously published as 97 percent in the FY 2010 – 2012 Annual Performance Report were changed to 93 percent to account for the variability in results based on sample size.</p>							
Average of processing cycle time (in months) for adjustment of status to permanent resident applications (I-485) (USCIS)	13.6	4.4	3.8	≤ 4	4.4	≤ 4	≤ 4
<p>Explanation: In FY 2011, the number of employment-based I-485 applications and other benefit applications increased above normal levels which impacted USCIS’s ability to process I-485 applications in a timely fashion. Applications have returned to normal levels and it is anticipated that USCIS will meet its target in FY 2012.</p>							
Average of processing cycle time (in months) for naturalization applications (N-400) (USCIS)	8.7	4.2	4.5	≤ 5	4.6	≤ 5	≤ 5
Number of significant citizenship outreach events (USCIS)	109	99	102	85	89	Retired Measure	
<p>Explanation: This measure is being retired and replaced with the measure below.</p>							





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of Citizenship and Integration Grant Program grantees that meet annual performance plan goals (USCIS)	---	---	---	New Measure		90%	90%

Below is a highlighted accomplishment demonstrating success in *Enforcing and Administering Our Immigration Laws*.



### USCIS Launches Self Check

In March of 2011, U.S. Citizenship and Immigration Services (USCIS) announced the launch of Self Check—a free, online, voluntary service of the E-Verify program

that allows individuals to verify their employment eligibility in the United States. Administered by USCIS, Self Check is currently available to residents of Arizona, Colorado, Idaho, Mississippi, Virginia, the District of Columbia, California, Louisiana, Maine, Maryland, Massachusetts, Minnesota, Missouri, Nebraska, Nevada, New Jersey, New York, Ohio, South Carolina, Texas, Utah, and Washington and will be available nationwide in early 2012.

Since the program’s inception, thousands of workers and potential workers have taken advantage of Self Check, accessing their federal employment eligibility records, guidance on how to correct potential record discrepancies prior to the hiring process and resources for combating workplace discrimination related to employment eligibility.

Since the launch of Self Check, USCIS has worked to continue to refine the program. In August 2011, Self Check became a bi-lingual service available to users in both English and Spanish, broadening the scope of the program to members of our U.S. workforce who are more comfortable reading Spanish-language materials.

**Table 8: Performance Measures for Goal 3.2: Prevent Unlawful Immigration**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of initial mismatches for authorized workers that are later determined to be “Employment Authorized” (USCIS)	---	---	---	≤ 3%	0.28%	≤ 1.0%	≤ 1.0%
Explanation: The FY 2012 target, previously published as ≤ 3.0 percent in the FY 2010 – 2012 Annual Performance Report was changed to ≤ 1.0 percent based on FY 2011 results.							
Accuracy rate of USCIS’s processing of manual verifications for Systematic Alien Verification for Entitlements (SAVE) referrals (USCIS)	---	---	---	New Measure		98%	98%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of religious worker site visits conducted that result in a potential finding of fraud (USCIS)	---	---	---	≤ 11%	1%	≤ 11%	≤ 11%
Percent of non-immigrant worker (H1-B) site visits conducted that result in a potential finding of fraud (USCIS)	---	---	---	≤ 11%	1%	≤ 11%	≤ 11%
Dollar value of fines assessed for employers who have violated the I-9 requirements (ICE)	---	---	\$6,956,026	\$7,095,147	\$10,914,356	\$7,237,049	\$7,381,790
Number of employers arrested or sanctioned for criminally hiring illegal labor (ICE)	---	---	433	455	624	478	501
Number of visa application requests denied due to recommendations from the Visa Security Program (ICE)	---	---	---	780	5,038	Retired Measure	
Explanation: This measure is being retired due to the difficulty of identifying the instances in which the Department of State recommended refusal based solely on Visa Security Program (VSP) input. ICE is exploring new measures to better represent the impact of VSP screening and vetting efforts.							
Number of convicted criminal aliens removed per fiscal year (ICE)	---	---	195,772	180,000	216,698	220,350	224,000
Explanation: The FY 2012 target, previously published as 210,000 in the FY 2010 – 2012 Annual Performance Report was changed to 220,350 based on FY 2011 results.							
Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (in days) (ICE)	---	---	37	≤ 38	34.7	≤ 35	≤ 35
Explanation: The FY 2012 target, previously published as < 37 in the FY 2010 – 2012 Annual Performance Report was changed to < 35 based on FY 2011 results.							
Percent of aliens arrested or charged who will be electronically screened through the Secure Communities program (ICE)	---	---	63.8%	80%	75.57%	96%	100%
Explanation: Throughout FY 2011, ICE implemented several reforms to the Secure Communities program to improve communications, training and accountability, which impacted the number of jurisdictions activated under Secure Communities. Although there was a slight impact to FY 2011 results, the Secure Communities program is on track for nationwide deployment in FY 2013.							



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of detention facilities found in compliance with the national detention standards by receiving an inspection rating of acceptable or greater on the last inspection (ICE)	---	---	---	90%	95%	94%	94%
Explanation: The FY 2012 target, previously published as 92 percent in the FY 2010 – 2012 Annual Performance Report was changed to 94 percent based on FY 2011 results.							

Below is a highlighted accomplishment demonstrating success in *Enforcing and Administering Our Immigration Laws*.



### ICE Removes Former Member of Guatemalan Army Linked to Massacre

On July 12, 2011, ICE deported [Pedro Pimentel Rios](#), a former member of the Guatemalan army whom witnesses say participated in the murder of dozens of men, women and children in the village of Las Dos Erres in December 1982. The deportation represents a victory for ICE’s [Human Rights Violators and War Crimes Center](#), which investigated the case.

ICE charged Pimentel Rios in immigration court with being deportable for having assisted or otherwise participated in extrajudicial killings during the Dos Erres massacre. In May, an immigration judge in Los Angeles cleared the way for Pimentel Rios’ repatriation to Guatemala, ruling he was deportable based upon his participation in the killings at Las Dos Erres. The judge’s ruling capped an intensive legal effort by ICE to gain Pimentel Rios’ removal from the United States following his arrest by ICE’s Homeland Security Investigations agents in Orange County, California a year ago.

“For the families who lost loved ones at Dos Erres, justice has been a long time coming, but they can take consolation in the fact that those responsible for this tragedy are now being held accountable for their crimes,” said ICE Director John Morton. “I applaud the outstanding work by ICE attorneys and investigators to bring a successful conclusion to this case. We will not allow our country to serve as a safe haven for those who commit human rights abuses and war crimes.”



## Mission 4: Safeguarding and Securing Cyberspace

Cyberspace is highly dynamic and the risks posed by malicious cyber activity often transcend sector and international boundaries. Today’s threats to cybersecurity require the engagement of the entire society—from government and law enforcement to the private sector and most importantly, members of the public—to mitigate malicious activities while bolstering defensive capabilities.

DHS is responsible for protecting the federal executive branch civilian agencies and guiding the protection of the nation’s critical infrastructure. This includes the “dot-gov” world, where the government maintains essential functions that provide services to the American people, as well as privately owned critical infrastructure which includes the systems and networks that support the financial services industry, the energy industry, and the defense industry.

We will achieve this mission through meeting the following goals:

<b>Goal 4.1: Create a Safe, Secure, and Resilient Cyber Environment</b>	<ul style="list-style-type: none"> <li>• Ensure malicious actors are unable to effectively exploit cyberspace, impair its safe and secure use, or attack the Nation’s information infrastructure</li> </ul>
<b>Goal 4.2: Promote Cybersecurity Knowledge and Innovation</b>	<ul style="list-style-type: none"> <li>• Ensure that the Nation is prepared for the cyber threats and challenges of tomorrow</li> </ul>

### DHS Performance

In FY 2011, there were five performance measures used to assess the Department’s efforts in *Mission 4: Safeguarding and Securing Cyberspace*. For the FY 2012 – 2013 plan, one new measure is being introduced and one measure is being retired. Detailed results for each performance measure are provided in the following tables.

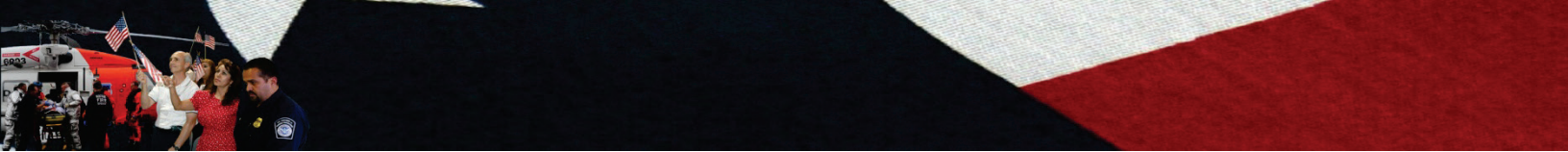
**Table 9: Performance Measures for Goal 4.1: Create a Safe, Secure, and Resilient Cyber Environment**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of intelligence reports rated “satisfactory” or higher in customer feedback that enable customers to manage risks to cyberspace (AO)	---	---	---	---	---	80%	80%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							

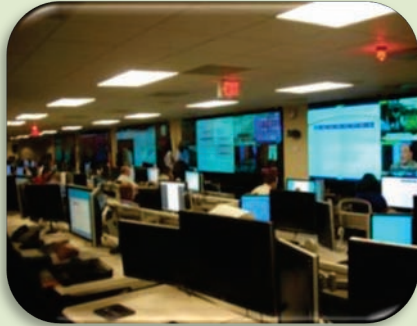




Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of Federal Executive Branch civilian networks monitored for cyber intrusions with advanced technology (NPPD)	---	---	---	28%	31.9%	55%	70%
Percent of external traffic monitored for cyber intrusions at civilian Federal Executive Branch agencies (NPPD)	---	---	---	New Measure		55%	70%
Percent of unique vulnerabilities detected during cyber incidents where mitigation strategies were provided by DHS (NPPD)	---	---	---	90%	93%	95%	100%
Percent of cybersecurity mitigation strategies provided by DHS for unique vulnerabilities that are timely and actionable (NPPD)	---	---	---	---	---	50%	60%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012. This measures a program that is in its early stages of implementation—targets will continue to increase.							
Average amount of time required for initial response to a request for assistance from public and private sector partners to prevent or respond to major cyber incidents (in minutes) (NPPD)	---	---	---	< 120	138	< 90	< 60
Explanation: The FY 2011 goal of 2 hours was not met, although organizational improvements allowed the United States Computer Emergency Readiness Team (US-CERT) to meet or exceed the target for the final three quarters of the year. US-CERT believes it is well positioned to meet its goal of 1.5 hours in FY 2012.							
Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions) (USSS)	\$410.9	\$534.2	\$6,946	\$304	\$1,480	\$279	\$300



Below is a highlighted accomplishment demonstrating success in *Safeguarding and Securing Cyberspace*.



### National Cybersecurity Incident Response

In March 2011, a U.S. oil and natural gas organization was victimized by a series of successful cybersecurity attacks, and subsequently contacted the FBI. Under the framework established in the National Cybersecurity Incident Response Plan, the FBI reached out to DHS to provide assistance through the National Cybersecurity and Communications Integration Center.

At the company’s request, DHS deployed cyber experts on-site to provide hands-on incident response, analysis, and mitigation solutions. Using custom tools and unique knowledge of known threats, the DHS team soon discovered

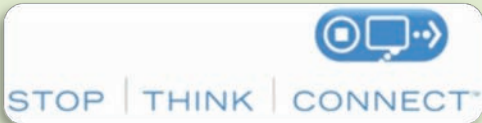
malicious activity on the company’s network. DHS proposed network changes that would help mitigate the damage and defend from future attacks. DHS also disseminated recommendations from this engagement to other critical infrastructure owners and operators, to better secure our Nation for the future.

**Table 10: Performance Measures for Goal 4.2: Promote Cybersecurity Knowledge and Innovation**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of young adults with sufficient level of cybersecurity awareness (NPPD)	---	---	---	42%	N/A	Retired Measure	

Explanation: The survey question upon which this measure was based was discontinued by the Federal Trade Commission (FTC) and the National Cyber Security Alliance. Therefore the program is unable to provide data for FY 2011. Since data is no longer available, this measure is being retired and the program is working to establish an implementation plan and measurement strategy to gauge awareness in the future.

Below is a highlighted accomplishment demonstrating success in *Safeguarding and Securing Cyberspace*.



### Stop. | Think. | Connect.

The “Stop | Think | Connect™” Campaign is a national public awareness campaign aimed at increasing the understanding of cyber threats and empowering the American public to be safer and more secure online.

The Campaign’s main objective is to help individuals and families become more aware of growing threats and provide the tools to protect oneself and their families.

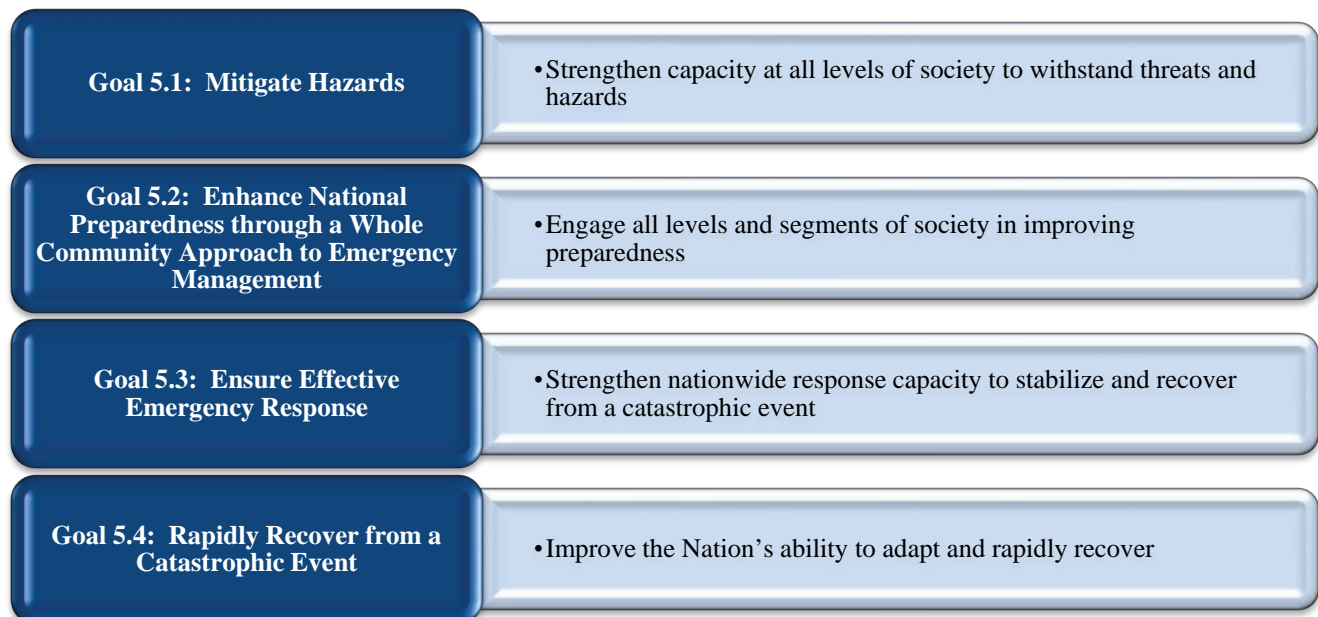
Cybersecurity is a shared responsibility. We each have to do our part to keep the Internet safe. When we all take simple steps to be safer online, it makes using the Internet a more secure experience for everyone. If we each do our part online, we are protecting ourselves and helping to make the Internet safer for everyone. Get [simple tips](#) on how to protect yourself and your family.



## Mission 5: Ensuring Resilience to Disasters

DHS coordinates comprehensive federal efforts to prepare for, protect against, respond to, recover from, and mitigate a terrorist attack, natural disaster or other large-scale emergency, while working with individuals, communities, the private and nonprofit sectors, faith-based organizations, local, state, tribal, territorial and federal partners to ensure a swift and effective recovery effort. The Department's efforts to build a ready and resilient Nation include fostering a Whole Community approach to emergency management nationally; building the Nation's capacity to stabilize and recover from a catastrophic event; bolstering information sharing and building unity of effort and common strategic understanding among the emergency management team; building plans and providing training to our homeland security partners; and promoting preparedness within the private sector.

We will achieve this mission through meeting the following goals:



### *DHS Performance*

In FY 2011, there were 15 performance measures used to assess the Department's efforts in *Mission 5: Ensuring Resilience to Disasters*. For the FY 2012 – 2013 plan, one measure is being retired. Detailed results for each performance measure are provided in the following tables.



**Table 11: Performance Measures for Goal 5.1: Mitigate Hazards**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of households surveyed reporting they have taken steps to mitigate damage to property and protect themselves in the event of a disaster (FEMA)	---	---	---	35%	27%	29%	31%
Explanation: The program will continue to work with communities to improve the level of households taking action to mitigate damage to property and protect themselves in the event of a disaster. The FY 2012 target, previously published as 40 percent in the FY 2010 – 2012 Annual Performance Report was changed to 29 percent based on FY 2011 results.							
Percent of U.S. population (excluding territories) covered by planned mitigation strategies (FEMA)	---	---	---	80%	68.7%	80%	85%
Explanation: Mitigation plans are updated on a five year review cycle causing the metric to naturally fluctuate. Given the current economic climate, as many plans expire, states and localities do not have the staff, expertise, or funding to update their mitigation plan. In FY 2011, FEMA released the “Local Mitigation Plan Review,” which will streamline the review of mitigation plans. Additionally, the FY 2011 and FY 2012 targets for this measure were incorrectly published as 85 percent and have been revised to 80 percent.							
Reduction in the potential cost of natural disasters to communities and their citizens (in billions) (FEMA)	\$2.53	\$3.12	\$2.98	\$2.3	\$3.4	\$2.4	\$2.4
Percent of communities in high earthquake, flood, and wind-prone areas adopting disaster-resistant building codes (FEMA)	---	---	---	45%	48%	49%	53%

**Table 12: Performance Measures for Goal 5.2: Enhance National Preparedness through a Whole Community Approach to Emergency Management**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of households surveyed reporting they have taken steps to be prepared in the event of a disaster (FEMA)	---	---	---	39%	36%	37%	38%
Explanation: This is a composite measure that includes household planning, up-to-date supplies set aside for disaster, and being informed of what to do in case of a disaster. Presidential Preparedness Directive (PPD)-8 requires a comprehensive campaign to build and sustain national preparedness, including public outreach and community and private sector programs. A key step is to understand the current state of preparedness. FEMA is tracking nationwide preparedness through its Citizen Corps Household Survey to better understand how and why we prepare for disasters. Affecting behavior change associated with preparedness is a relatively new area of study and focus. FEMA is exploring better methods to link communications, outreach and training strategies and activities with measurable changes in behavior. Additionally, the FY 2012 target, previously published as 41 percent in the FY 2010 – 2012 Annual Performance Report was changed to 37 percent based on FY 2011 results.							





Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Number of corrective actions completed to improve performance following National Level Exercises (FEMA)	---	---	---	23	30	40	60

Below is a highlighted accomplishment demonstrating success in *Ensuring Resilience to Disasters*.

### Increasing Household Preparedness

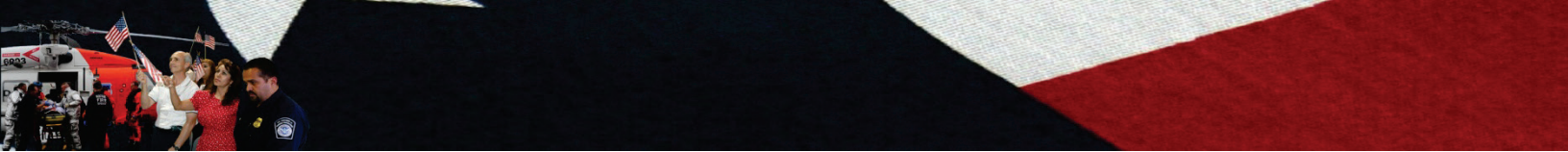
Presidential Preparedness Directive-8 requires a comprehensive campaign to build and sustain national preparedness, including public outreach and community and private sector programs. A key step is to understand the current state of preparedness. FEMA is tracking nationwide preparedness through its Citizen Corps Household Survey to better understand how and why we prepare for disasters. In 2011, 42 percent of households had a plan of what they would do in the event of a disaster and had discussed it with their household; 33 percent could list up-to-date supplies set aside in case of disaster; and 39 percent were informed of key information such as local hazards, local alert, and warning systems or knew what to do based on training.



FEMA recognizes that it takes a whole community to prepare and respond to disasters, and that preparedness starts with the individual. FEMA's [Ready.gov](http://www.ready.gov) and [Citizen Corps](http://www.citizen.gov) encourage and support preparedness through national campaigns and local programs, including Citizen Corps Councils and [Community Emergency Response Teams](http://www.fema.gov) training. Recent FEMA initiatives to engage the whole community—particularly populations traditionally not engaged in preparedness—resulted in increasing registrations of organizations and individuals committing to get their community involved in National Preparedness Month from under 5,000 registrations in 2010 to nearly 9,000 this year.

**Table 13: Performance Measures for Goal 5.3: Ensure Effective Emergency Response**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of the U.S. population directly covered by FEMA connected radio transmission stations (FEMA)	---	---	---	80%	84%	90%	90%
Percent of time that critical communications for response operations are established within 12 hours (FEMA)	---	---	---	100%	100%	100%	100%
Percent of essential incident command functions (enabled through response teams and operations centers) that are established within 12 hours (FEMA)	---	---	---	100%	100%	100%	100%



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of urban search and rescue teams arriving on scene within 12 hours of deployment notification (FEMA)	---	---	---	100%	100%	100%	100%
Percent of orders for required life-sustaining commodities (meals, water, tarps, plastic sheeting, cots, blankets and generators) and key initial response resources delivered by the agreed upon date (FEMA)	---	---	97.5%	85%	93.3%	95%	95%
Explanation: The FY 2011 result for this measure was previously reported with preliminary results of 96 percent in the FY 2011 DHS Annual Financial Report and was subsequently recalculated to be 93.3 percent.							
Percent of jurisdictions with access to the FEMA National Shelter System which allows users to locate and monitor open congregate shelters (FEMA)	---	---	---	20%	24%	40%	60%
Percent of high-risk urban areas designated within the Urban Areas Security Initiative (UASI) able to demonstrate increased Emergency Communications capabilities (NPPD)	---	---	---	---	---	50%	55%
Explanation: This measure was introduced in the FY 2010 – 2012 Annual Performance Report; however, the program will begin collecting data in FY 2012.							

Below is a highlighted accomplishment demonstrating success in *Ensuring Resilience to Disasters*.

### Establishing Effective Communications during a Response

In a disaster situation, communications between the Federal Emergency Management Agency (FEMA), federal, state, and local agencies is critical. It is important that members of the emergency management team communicate with one another in real time during life saving operations and recovery efforts. In preparation for this year's historic flooding in Minot, North Dakota, FEMA's Mobile Emergency Response Support Detachment (Denver) was deployed to provide radios to agencies involved in the flood fight so they could all operate on a single frequency, enabling interoperable communications.

The Fire Chief from Minot credited FEMA with assisting in developing a communications plan that helped meet the needs of the emergency management team, resulting in communications that were deemed "excellent."





**Table 14: Performance Measures for Goal 5.4: Rapidly Recover from a Catastrophic Event**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of eligible applicants provided temporary housing (including non-congregate shelters, hotel/motel, rental assistance, repair and replacement assistance, or direct housing) assistance within 60 days of a disaster (FEMA)	---	---	99.5%	94%	99%	97%	98%
Explanation: The FY 2012 target, previously published as 94 percent in the FY 2010 – 2012 Annual Performance Report was changed to 97 percent based on FY 2011 results.							
Percent of Federal Departments and Agencies that have viable continuity programs to maintain essential functions in case of disaster (FEMA)	---	---	---	Classified	Classified	Retired Measure	
Explanation: This measure met its target for FY 2011. This measure is being retired from the plan; however, it will continue to be tracked by FEMA.							
Government Emergency Telecommunications Service call completion rate during emergency communication periods (NPPD)	97.0%	94.2%	99.4%	90%	97.8%	90%	90%



## Providing Essential Support to National and Economic Security

Homeland security is an integral element of broader U.S. national security and domestic policy. It is not, however, the only element. The *National Security Strategy* clearly identifies national defense and economic security as other elements—along with homeland security—of overall U.S. national security. DHS leads and supports many activities that provide essential support to national and economic security including, but not limited to: maximizing collection of customs revenue; maintaining the safety and security of the marine transportation system; preventing the exploitation of children; providing law enforcement training; and coordinating the Federal Government’s response to global intellectual property theft. DHS contributes in many ways to these elements of broader U.S. national and economic security while fulfilling its homeland security missions.

We will achieve this through meeting the following goals:

<b>Goal : Collect Customs Revenue and Enforce Import/Export Controls</b>	<ul style="list-style-type: none"><li>•Maximize the collection of customs revenue and protect U.S. intellectual property rights and workplace standards</li></ul>
<b>Goal: Ensure Maritime Safety and Environmental Stewardship</b>	<ul style="list-style-type: none"><li>•Protect safety and ensure environmental stewardship in the maritime domain</li></ul>
<b>Goal: Conduct and Support Other Law Enforcement Activities</b>	<ul style="list-style-type: none"><li>•Prevent child exploitation and ensure effective federal law enforcement training</li></ul>
<b>Goal: Provide Specialized National Defense Capabilities</b>	<ul style="list-style-type: none"><li>•Strengthen national defense by providing ready forces with specialized capabilities</li></ul>

### *DHS Performance*

In FY 2011, there were eight performance measures used to assess the Department’s efforts in *Providing Essential Support to National and Economic Security*. Detailed results for each performance measure are provided in the following tables.





**Table 15: Performance Measures for Goal: Collect Customs Revenue and Enforce Import/Export Controls**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of revenue directed by trade laws, regulations, and agreements successfully collected (CBP)	---	---	---	100%	99.12%	100%	100%
Explanation: Results reflect computations conducted in October 2011 and will not be considered final until a required, independent, post-audit compliance review is completed. Final results will be available in February 2012. The deviation from the target was slight and there was no effect on overall program performance.							

Below is a highlighted accomplishment demonstrating success in *Providing Essential Support to National and Economic Security*.

### Operation Stone Face II

Imports of polished granite from Brazil and India were often misclassified in order to claim Generalized System of Preferences (GSP), a trade preference program which allows for significantly diminished duty rates. CBP conducted Operation Stone Face I in 2008 which targeted those imports. The Operation was successful, however recently CBP discovered that some importers adopted a different GSP eligible provision for imports of polished granite in order to once again evade customs collection. The many discrepancies discovered through CBP's targeting made it abundantly clear that another special operation would be necessary to address the misclassification of stone, which gave rise to Operation Stone Face II in April 2010. As part of this ongoing operation, CBP targeted the misclassified stone, which were similarly being entered conditionally free due to the GSP claim. CBP's targeting associated with Operation Stone Face II generated an estimated \$457,105 in recovered revenue and \$20,000 in penalty assessments.



**Table 16: Performance Measures for Goal: Ensure Maritime Safety and Environmental Stewardship**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of people in imminent danger saved in the maritime environment (USCG)	76.8%	77.3%	74.4%	100%	77.27%	100%	100%
Explanation: The Search and Rescue program strives to save 100% of lives in imminent danger in the maritime environment. Many uncontrollable variables influence the number and outcome of search and rescue incidents (weather, location, incident severity, life saving devices on board, etc.). In FY 2011 the U.S. Coast Guard saved 3,804 lives in 20,510 cases with 732 lives lost and 390 lives unaccounted for. In comparison, in FY 2010 the U.S. Coast Guard saved 4,348 lives in 22,226 cases with 816 lives lost and 480 lives unaccounted for.							
Five-year average number of commercial and recreational boating deaths and injuries (USCG)	---	---	---	≤ 4,813	4,567	≤ 4,642	≤ 4,546



Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Availability of maritime navigation aids (USCG)	98.3%	98%	98.5%	97.5%	98.48%	97.5%	97.5%
Number of detected incursions of foreign fishing vessels violating U.S. waters (USCG)	81	112	82	< 180	122	< 140	< 85
Fishing regulation compliance rate (USCG)	95.3%	96.7%	97.2%	96%	97.4%	96%	96%

**Table 17: Performance Measures for Goal: Conduct and Support Other Law Enforcement Activities**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of National Center for Missing and Exploited Children (NCMEC) examinations requested that are conducted (USSS)	---	---	---	100%	100%	100%	100%
Number of Federal law enforcement training programs and/or academies accredited or re-accredited through the Federal Law Enforcement Training Accreditation process (FLETC)	---	50	52	56	66	74	82

Below is a highlighted accomplishment demonstrating success in *Providing Essential Support to National and Economic Security*.

### Defense Readiness

U.S. Coast Guard Cutters *Bertholf*, *Sycamore*, and *Long Island* participated in Exercise Northern Edge, a training event held annually in Alaska. Sponsored by United States Northern Command, Northern Edge is a multi-service training exercise designed to practice operations, tactics, and procedures aimed at enhancing interoperability among U.S. military forces. Throughout the exercise, U.S. Coast Guard ships assumed offensive and defensive postures in response to aerial and surface threats. In both roles, U.S. Coast Guard ships utilized their unique capabilities to work alongside Department of Defense counterparts, exercising tactics, techniques, and procedures involving engineering casualty control, medical response, helicopter landing operations, underway replenishment, and visit, board, search, and seizure. The common objective among all scenarios was to improve communications, interoperability, and command and control procedures.





## Cross-Cutting Performance Measures

Some of the Components' efforts, by the very nature of their work, support multiple missions in DHS. Specific examples include awareness and understanding of risks and threats offered by Analysis and Operations, research and development to advance technology and processes provided by Science and Technology, and law enforcement training both within DHS and with our law enforcement partners delivered by the Federal Law Enforcement Training Center. Below are the current measures to reflect cross-cutting results.

**Table 18: Cross-Cutting Performance Measures**

Performance Measures	Prior Year Results			FY 2011		Planned Targets	
	FY 2008	FY 2009	FY 2010	Target	Results	FY 2012	FY 2013
Percent of breaking homeland security situations integrated and disseminated to designated partners within targeted timeframes (AO)	---	88%	100%	95%	100%	95%	95%
Percent of Partner Organizations satisfied that the Federal Law Enforcement Training Center training programs address the right skills needed for their officers/agents to perform their law enforcement duties (FLETC)	79.75%	82%	96%	84%	98.5%	97%	97%



## Priority Goals

In the FY 2010 Budget, the Obama Administration defined Priority Goals, which represent areas in which the Administration has identified opportunities to significantly improve near-term performance. These goals are only a subset of each agency’s critical efforts, which also include long-term strategic goals and goals dependent on new legislation or additional funding. For FY 2011, the Department is reporting out the final results of the performance measures used to assess our progress in addressing our FY 2010 – 2011 Priority Goals.

Per the *GPR Modernization Act*, 31 U.S.C. 1115(b)(10), requirement to address Agency and Federal Priority Goals in the agency Strategic Plan and Annual Performance Plan, please refer to [Performance.gov](http://Performance.gov) for information on both the Agency Priority Goals, and the Federal Priority Goals and the agency’s contributions to those goals, where applicable.

### ***Priority Goal 1: Preventing Terrorism and Enhancing Security through Aviation Security***

#### **Goal Statement**

Improve commercial aviation security screening through layered security measures including the utilization of Transportation Security Officers, Secure Flight, and Advanced Imaging Technology.



Goal Leader: Howard Goldman, Senior Counselor, Transportation Security Administration

#### **Overview**

In order to combat evolving threats to the commercial aviation sector, DHS’s goal is to screen one hundred percent of all passengers, baggage, and cargo on passenger planes while facilitating and expediting legal travel and trade. DHS/TSA is working to deploy the most effective layered screening technologies at all airports to detect threats on passengers and in baggage, and to improve the vetting process for air passengers against government watchlists by implementing Secure Flight.

#### **Progress Update**

During the past two years, TSA met all but two of its aviation transportation security performance measure targets and has continued to allocate necessary resources and set deployment schedules to achieve its “Preventing terrorism and enhancing security through aviation security” Priority Goal.

TSA began implementing the Secure Flight program in early 2008 and as of November 2010 has a fully implemented watch list matching program that matches 100 percent of passengers on all flights into, out of and within the United States. In addition, TSA achieved its goal of screening 100 percent of all passenger air cargo departing U.S. airports in August 2010. International inbound air cargo is more secure than it has ever been with 100 percent of identified high risk cargo now being screened. During the last two years, TSA has enhanced passenger checkpoint screening through the large deployment of Advanced





Imaging Technology (AIT) to detect non-metallic threat items. There are currently 522 AITs at 98 airports nationwide, representing 100 percent of machines scheduled for deployment. In addition, during the past year, TSA invested in new software, referred to as Automatic Target Recognition (ATR), to address privacy issues and civil rights and civil liberties concerns. ATR enhances passenger privacy by eliminating passenger-specific images and instead highlighting the area with a detected anomaly on a generic outline of a person. TSA has installed this new software on all 275 deployed Millimeter Wave AIT units

In addition to AIT, TSA utilizes Bottled Liquids Scanner (BLS) screening systems that are used by Transportation Security Officers to detect potential liquid or gel threats which may be contained in passenger's property. TSA has deployed 84 percent of the planned BLS systems to roughly 50 percent of airports. Based on evolving security needs, utilization rates, and airport requirements, TSA re-assessed the BLS distribution strategy and adjusted deployment plans to increase deployments.

Explosives Detection Systems are the most efficient screening technology for checked baggage. While TSA has experienced small decreases in operational availability due to airport power outages and airport construction delays which slowed screening and required TSA to utilize alternative screening methods, the agency continues to work toward achieving FY 2012 targets as projected. This equipment provides improved threat detection capabilities and automates previous screening methods with throughput increases up to 300 percent.

TSA has consistently met its quarterly target of keeping wait times to less than 20 minutes, although TSA has seen an increase in carry-on items which has significantly increased the amount of baggage screened at passenger checkpoints.

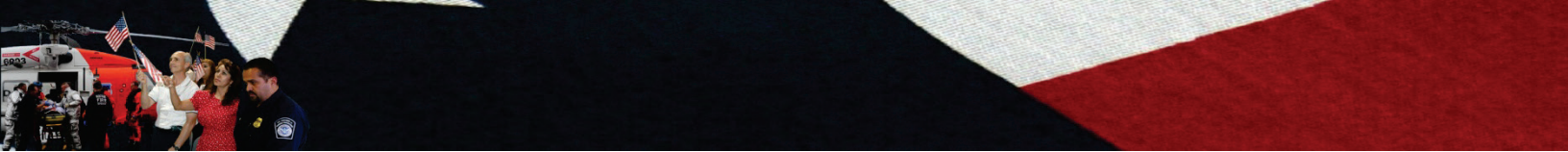
TSA continues to work to balance security and the passenger experience. Currently, TSA is testing a limited, voluntary passenger pre-screening initiative with a small traveler population at four U.S. airports. The TSA Pre✓ initiative implements a key component of the agency's intelligence-driven, risk-based approach to security. This pilot program will help assess measures designed to enhance security by placing more focus on pre-screening individuals who volunteer to participate in order to expedite the travel experience.

TSA will continue to progress as a high-performance, world-class counterterrorism organization utilizing smart, intelligence-driven aviation security solutions to facilitate travel and commerce.

## Results

**Table 19: Priority Goal 1 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of domestic air enplanements vetted through Secure Flight (TSA)	100%	100%
Percent of international air enplanements vetted through Secure Flight (TSA)	77%	100%



Performance Measures	FY 2010 Results	FY 2011 Results
Percent of nationwide airport operational hours with wait times of less than 20 minutes (TSA)	99%	99.4%
Percent of checked baggage screened with Explosive Detection Systems (EDS) that maximize security, effectiveness and efficiency (TSA)	89%	90%
Percent of air cargo screened for transport on commercial passenger flights originating from the U.S. and territories (TSA)	100%	100%
Average number of days for DHS TRIP redress requests to be closed (TSA)	57 days	99 days
Explanation: Two major factors resulted in an increase in redress time for FY 2011. First, DHS TRIP experienced a significant IT issue that impacted the ability to process applications timely; and 2) DHS TRIP initiated a significant focus on adjudicating and closing aging cases, which negatively impacted average processing time. In FY 2012, DHS TRIP will be upgrading its case management system to provide more efficient processing which will allow DHS TRIP to focus on adjudicating aging inquiries while reducing processing time for new inquiries.		
Percent of Advanced Image Technology (AIT) machines deployed according to the deployment plan (TSA)	78%	100%
Percent of airports with bottled liquid scanners coverage (TSA)	6%	39%
Passenger security screening assessment results (TSA)	Classified	Classified
Baggage security screening assessment results (TSA)	Classified	Classified

## ***Priority Goal 2: Preventing Terrorism and Enhancing Security through Surface Transportation Security***

### **Goal Statement**

Improve security in the surface modes of transportation by performing risk assessments, closing vulnerability gaps, vetting key workers, providing training and deploying highly skilled prevention and response teams.

### **Overview**

Millions of passengers and millions of tons of commodities move through our nation’s surface transportation network each year. DHS recognizes that the risk from terrorism and other hazards demands a coordinated approach to security involving all sector partners and stakeholders, including federal, state, and local governments as well as the private sector. DHS/TSA is leveraging these partnerships to increase the overall level of surface transportation security across the four sectors—mass transit, highways, freight rail, and pipelines.



Goal Leader: Howard Goldman, Senior Counselor, Transportation Security Administration



## Progress Update

During the past two years, TSA met all but two of its surface transportation security performance measure targets and has continued to allocate necessary resources to achieve its “Preventing terrorism and enhancing security through surface transportation security” priority goal.

In conjunction with the Federal Emergency Management Agency (FEMA), TSA manages Transportation Security Grant Programs. These programs have awarded over \$2 billion to the mass transit, passenger rail, trucking, freight rail, and intercity bus sectors since 2006.

In FY 2010, the agency completed a national threat assessment for each mode of transportation and assessed a series of terrorist attack methods, and in FY 2011, completed the transportation systems-sector specific plan, which established strategic goals and objectives in order to achieve a shared vision of a safe and secure national transportation system. TSA has also conducted thousands of Visible Intermodal Prevention and Response (VIPR) operations and has vetted more than 2 million maritime workers through the Transportation Worker Identification Credential (TWIC) program and over 1.8 million drivers through the Hazardous Materials Endorsement (HME) program.

TSA’s “Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security” measure reflects the percent of the 100 largest mass transit, light and passenger rail, bus, and other commuter transportation agencies that have taken recommended steps to improve security.

DHS completed risk-based implementation plans with associated milestones for each of the 20 consensus recommendations of the Surface Transportation Security Priority Assessment (STSPA), addressing the potential risks to the surface transportation system. In FY 2011, 63 percent of the STSPA implementation plan milestones were met. As of October 2011, 10 recommendations have been fully implemented and implementation of the others is underway.

Under requirements of the 9/11 Act, TSA is directed to support security exercises for transportation modes including freight rail, mass transit, and highway. TSA measures its efforts through Intermodal Security Training Exercise Program (I-STEP), which tests transit agencies preparedness, response and recovery. In the fourth quarter of FY 2011, all objectives were met for the surface transportation security and preparedness exercise goals measure.

In FY 2011, TSA performed 7,850 Visible Intermodal Prevention and Response (VIPR). VIPR team operations are unpredictable visual deterrents and their rapid deployment to all modes of transportation can be seen randomly in transit and rail stations, in support of major events, and to respond to and defeat threatened terrorist activity. In FY 2010, TSA developed a performance measure to gauge the percent of requested National Special Security Events and Special Assessment Rating Events at which VIPR teams are deployed. During the past two years, TSA has consistently met its target of 100 percent.



**Results**

**Table 20: Priority Goal 2 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of mass transit and passenger rail agencies that have effectively implemented industry agreed upon Security and Emergency Management Action items to improve security (TSA)	23%	28%
Explanation: Transit agencies are assessed every three years. The Transportation Security Inspectors for Surface assess a percentage of the transit agencies each year and it takes approximately six years for all transit agencies assessed to demonstrate that vulnerabilities identified in the first assessment have been addressed. Improvements made by an agency would not be captured until the following cycle of assessments. Progress has been made toward the target; however, sustained progress is contingent on funding available to state and local agencies.		
Percentage of surface transportation security and preparedness exercise goals achieved according to the surface mode transportation assessment (TSA)	100%	100%
Completion rate of requested high-risk Visible Intermodal Prevention and Response (VIPR) operations (TSA)	100%	100%
Number of annual VIPR operations to deter potential terrorist actions and enhance security at surface transportation facilities (TSA)	3,895	1,906
Percent of DHS-led annual Surface Transportation Security Assessment implementation plan milestones met (TSA)	62.5%	63.3%
Explanation: In FY 2011 there were 30 milestones to improve surface transportation security, some of which have multi-year implementation plans and some which are outstanding due to external factors.		

***Priority Goal 3: Securing and Managing Our Borders through the Western Hemisphere Travel Initiative (WHTI)***

**Goal Statement**

Prevent terrorist and criminal movement at land ports of entry through secure travel documents and enhanced technology that will effectively integrate vehicle and passenger data.

**Overview**

Build upon the initial success of WHTI, which improved vehicle processing at the land border by requiring travelers to present technically enhanced travel documents and strengthened CBP’s ability to target violators by integrating vehicle and passenger data. WHTI continues to expand the use of technology to additional land locations and to other key mission processing areas including pedestrian, outbound and the Border Patrol checkpoints. The overall effect of WHTI is a more secure land border that simultaneously facilitates legitimate travel.



Thomas Winkowski,  
Acting Deputy  
Commissioner, U.S.  
Customs and Border  
Protection





## Progress Update

WHTI Air requirements went into effect in January 2007 and compliance continues to be high—well over 99 percent for U.S. and Canadian citizens. WHTI secure document requirements were successfully implemented on June 1, 2009 at all the nation’s land and seaports. Compliance rates remain high averaging nearly 97 percent since implementation. This compliance rate increases to 99 percent on our northern border. Through the end of FY 2011, the WHTI technical solution has been deployed on over 470 inbound travel lanes at 58 land border ports and six lanes at one Border Patrol (BP) checkpoint. The improved intelligence and targeting capability enabled by WHTI has had a positive impact on specific apprehensions. Subsequent to WHTI implementation, drug seizures on the Southern Border increased 30 percent; false claims to U.S. citizenship apprehensions grew 25 percent on the Southern Border; and the rate of fraudulent documents intercepted at the land border increased by 12 percent for FY 2011 as compared to FY 2008.

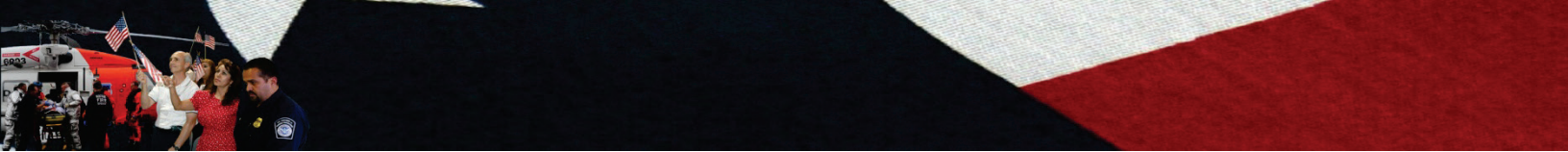
U.S. Customs and Border Protection (CBP) is working to capitalize on the success of the WHTI. The comprehensive Land Border Integration strategic focus is on mission integrated investments in outbound enforcement operations, inbound processing, and border patrol checkpoint processing. The integration of these three missions, the “Triangle Strategy,” seeks to expand innovative technologies and processes to provide further efficiencies in both security and facilitation for all facets of the land border. Key themes include mission integration; business process re-engineering in all land border mission areas; and leveraging mobile technologies.

During FY 2011, WHTI advanced implementation of the Triangle Strategy by deploying the inbound technical solution at two ports, piloted mobile/handheld technology on outbound processing at one port, completed the deployment of fixed outbound technology at five ports, and deployed tactical outbound technology to 20 lanes at six Border Patrol checkpoints. In addition, improved port efficiencies were realized by applying Active Lane Management techniques including the use of Ready Lanes at 17 crossings. A Ready Lane is a primary vehicle lane that only accepts RFID-enabled documents and where all adult passengers in a vehicle present one of these documents. Ready Lanes improve the effectiveness of the primary inspection; provide a substantial, tangible benefit to the traveler; and improve the efficiency of primary vehicle lanes by leveraging the existing CBP investment in RFID technology and documents. At some locations, these Ready Lanes handle almost 30 percent of the traffic volume with an average inspection time 20 percent faster than general passenger vehicle lanes.

## Results

**Table 21: Priority Goal 3 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of travelers entering the US with a secure document that establishes identity and citizenship (CBP)	96.5%	96.2%
Number of travelers who have been issued a WHTI-compliant, technologically enhanced secure travel document (Radio Frequency Identification (RFID) enabled) (CBP)	6,935,500	11,800,000



Performance Measures	FY 2010 Results	FY 2011 Results
Average privately-owned vehicle processing time at land borders (CBP)	57.3 seconds	58 seconds
Average pedestrian processing time at land borders (CBP)	23 seconds	22 seconds

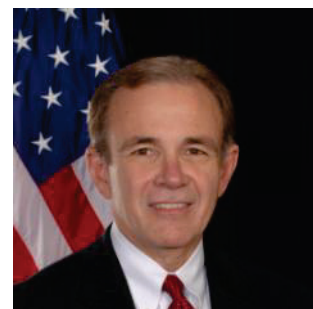
## ***Priority Goal 4: Enforcing and Administering Our Immigration Laws through Detention and Removal Efficiency***

### **Goal Statement**

Improve the efficiency of the process to detain and remove illegal immigrants from the United States.

### **Overview**

ICE is prioritizing the arrest and removal of convicted criminals, fugitives, illegal re-entrants, recent border violators, and visa overstays. The Secure Communities program uses biometric identification technology to better identify aliens arrested in state and local jurisdictions. Secure Communities is critical to ICE's efforts to identify and remove aliens who present a risk to national security or public safety, including terrorists, transnational gang members, and convicted criminals.



Goal Leader: Gary Mead, Executive Associate Director, Enforcement and Removal Operations, U.S. Immigration and Customs Enforcement

### **Progress Update**

In FY 2011, ICE was very successful in meeting Priority Goal targets. ICE exceeded the FY 2011 goal of removing 180,000 criminal aliens and surpassed FY 2010's performance by nearly 21,000, removing 216,698 convicted criminal aliens. Similarly, ICE removed 75,086 aliens convicted of the most serious crimes, more than both the FY 2011 goal and FY10's level. ICE's success in the removal of criminal aliens in FY 2011 is due to increased collaboration with law enforcement partners and implementation of ICE Civil Enforcement Priorities that prioritizes resources on individuals who pose the highest threat to national security and public safety.

At 34.7 days, ERO succeeded in meeting the target of 38 days Average Length of Stay (ALOS) for criminal detainees in FY 2011. ALOS success was due in part to continuing to increase detention capacity in locations where detainee transfers occur most often; for individuals being transferred, detainee transfers increase the average length of stay by approximately 14 days. ICE continues to focus on the development of a detention system that has the right number and type of facilities, in the right locations to align with enforcement and removal activities. In addition, ICE met the \$119.50 target by maintaining an average bed cost per day of \$112.83. This success was accomplished by discontinuing the use of high cost Service Processing Centers (SPCs) with an average bed rate of \$158.99 per day; negotiated lower bed rates; and taking advantage of guaranteed minimums with reduced rates over a threshold number of beds.



ICE uses a federal biometric information sharing capability to identify aliens arrested for a crime and booked into state or local law enforcement custody. ICE prioritizes immigration enforcement actions on threats to national security and public safety, criminal aliens, and aliens threatening the integrity of our immigration system. In FY 2011, this capability was activated in 1,595 jurisdictions nationwide, 43 states, and 1 territory.

## Results

**Table 22: Priority Goal 4 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Number of total removals and returns (includes criminal and non-criminal removals and voluntary returns) (ICE)	392,862	396,906
Number of convicted criminal aliens removed per fiscal year (ICE)	195,772	216,968
Number of aliens removed convicted of the most serious crimes (level 1 offenders) (ICE)	64,446	75,086
Average length of stay in detention of all convicted criminal aliens prior to removal from the United States (ICE)	37 days	34.7 days
Estimated average bed cost per day (ICE)	\$116.88	\$112.83
Percent of aliens arrested or charged who will be electronically screened through the Secure Communities (ICE)	63.8%	75.6%

## ***Priority Goal 5: Enforcing and Administering Our Immigration Laws through U.S. Citizenship and Immigration Services Business Transformation***

### Goal Statement

Improve the delivery of immigration services.

### Overview

In its current state, U.S. Citizenship and Immigration Services (USCIS) relies largely on the movement of paper to deliver immigration benefits and services. In the future, USCIS will utilize a paperless, electronic system that will transform nearly all of the Agency's processes. Through web-based technology, customers will maintain individual accounts with USCIS and be able to obtain more detailed and current information on their cases. By organizing and sharing information digitally, USCIS will increase the efficiency of its adjudications while facilitating the rapid and collaborative exchange of information with partner agencies. Through integrated risk and fraud management, USCIS will identify patterns early in its process and enhance the security of the nation's immigration system.



Goal Leader: Gerri Ratliff, Chief, Office of Transformation Coordination, U.S. Citizenship and Immigration Services



## Progress Update

Significant progress has been made toward the goal of implementing USCIS’s Electronic Immigration System (ELIS) which will transform the immigration benefit process from a paper-based to an electronic environment and enable us to better serve our customers through a process that is more transparent, efficient, and accessible. During FY 2011, USCIS finalized requirements to deliver end-to-end functionality for a portion of the nonimmigrant benefit requests. USCIS also developed and demonstrated an end-to-end electronic immigration processing prototype, which was used to complete detailed design and development of the core account and case management functions to support the intake and adjudication of the I-539 (Application to Change or Extend Nonimmigrant Status). The first release of USCIS ELIS is in the final pre-deployment stage (System Assurance Testing) and the design of the second release is underway.

USCIS ELIS will enable the adoption of new, customer-centric business processes that will allow all new immigration benefit applications/petitions to be filed electronically through a USCIS web-based portal. As it is fully implemented, USCIS will have a more comprehensive view of the customer and any potentially fraudulent transactions; improved audit functionality and record management; better resource management; and increased sharing of information with our partners both inside and outside of DHS.

## ***Priority Goal 6: Ensuring Resilience to Disasters by Strengthening Disaster Preparedness and Response Capabilities***

### Goal Statement

Strengthen disaster preparedness and response by improving FEMA's operational capabilities and strengthening state, local and private citizen preparedness.

### Overview

Recognizing the risks we face as a nation and our potential vulnerabilities to terrorist attacks and disasters, we are working to strengthen disaster preparedness and response. To do so, FEMA is improving its operational capabilities, strengthening state, local, individual and private sector preparedness through Emergency Management Institute training, putting in place resources and strategies for temporary housing (Transitional Sheltering Assistance—hotels, rental assistance, repair and replacement assistance, as well as leasing direct housing units to eligible households) and ensuring the availability of life-sustaining/life-saving commodities (meals, water, tarps, plastic sheeting, cots, blankets and generators) during disasters.



Goal Leader: David Kaufman, Director, Office of Policy and Program Analysis, Federal Emergency Management Agency

### Progress Update

Providing life-sustaining supplies and equipment (i.e., emergency meals, bottled water, cots, blankets, plastic sheeting (roofing), tarps, and emergency generators) to survivors in an impacted area is considered an Essential Operation in stabilizing an incident within 72 hours. In FY 2011 FEMA delivered 93.3 percent of orders (615 of 659) for life-sustaining disaster supplies and key initial response resources by a required date as





agreed upon by key federal, state, and local officials to best meet the needs of the customer. FEMA seeks to continually improve delivery metrics by analyzing factors contributing to any missed or late deliveries and validating actual delivery times. Challenges that could impede goal achievement include serious transportation infrastructure conditions (e.g., damaged highways and roads and damaged bridges) or multiple, or overwhelmingly catastrophic events, which would increase the complexity of delivering supplies.

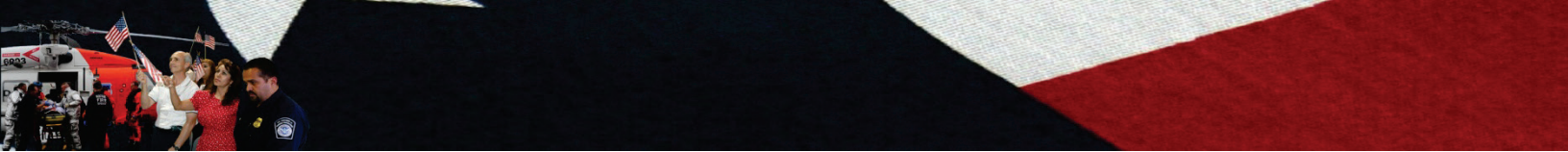
In FY 2011, FEMA temporary housing assistance was provided to 152,260 disaster households of which 99 percent (152,003) were assisted within 60 days. Individuals affected by a disaster can apply to FEMA for disaster assistance online through [disasterassistance.gov](http://disasterassistance.gov) or via tele-registration. FEMA strives to improve the nation’s ability to adapt and rapidly recover from major disasters while meeting the needs of disaster survivors in the most effective way possible.

In FY 2011, 95.8 percent of trainees from all levels of government report they are better prepared to deal with disasters and emergencies as a result of training. This effort builds toward an all-hazard, risk-based national emergency management system that strengthens the Nation’s ability to protect its citizens and its property/assets. FEMA strives for continuous improvement by conducting a 90-day follow-up survey to individuals completing FEMA-sponsored training courses to determine training effectiveness and how future training can be improved. In FY 2011, in consultation with National Emergency Managers Association, International Association of Emergency Managers, and the EMI Higher Education Program, EMI established the Emergency Management Training and Education System (EMTES). This system established a set of core competencies in the field of emergency management at the foundations, specialized technical, executive managerial and strategic leadership levels. In addition, EMI established the National Emergency Management Academy which introduces a national training program covering key foundational topics and provides broad entry level knowledge of the profession. Similar to “basic” academies developed by fire and law enforcement communities, the Academy’s goal is to provide foundational education in emergency management while providing an opportunity for students to build camaraderie, establish professional contacts, and gain a common understanding of the roles, responsibilities, and authorities of an emergency management program. Development of training programs for Specialized and Technical, Executive and Managerial, and a Strategic Leadership targeted to federal, state, and local agency executives is ongoing this year.

## Results

**Table 23: Priority Goal 6 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of orders for required life-sustaining commodities (meals, water, tarps, plastic sheeting, cots, blanket and generators) and key initial response resources delivered by the agreed upon date (FEMA)	98%	93.3%
Percent of eligible applicants provided temporary housing (including non-congregate shelters, hotel/motel, rental assistance, repair and replacement assistance, or direct housing) assistance within 60 days of a disaster (FEMA)	99%	99%



Performance Measures	FY 2010 Results	FY 2011 Results
Percent of trainees from all levels of government including tribal, public and private sector, and non-governmental organizations reporting they are better prepared to deal with disasters and emergencies as a result of training (FEMA)	86.9%	92%

***Priority Goal 7: Maturing and Strengthening the Homeland Security Enterprise through Effective Information Sharing***

**Goal Statement**

Maturing and strengthening the homeland security enterprise through effective information sharing.

**Overview**

DHS is working to improve and enhance secure information sharing capabilities for state and local partners, the timeliness and sufficiency of responses to stakeholders' requests, and improvement of internal DHS information sharing. In addition to addressing these specific issues, DHS is developing a department-wide information sharing roadmap based on the strategic framework set forth in the Quadrennial Homeland Security Review which will further mature and strengthen the homeland security enterprise.



Goal Leader: Clark Smith, Director for Information Sharing and Intelligence Enterprise Management, Intelligence and Analysis

**Progress Update**

During the second half of the fiscal year, the Office of Intelligence and Analysis (I&A) continued to improve the Homeland Security Standing Information Needs (HSEC SINs) initiative by: clearly defining and communicating what SINs are and how they are used; refining the process by which I&A supports the fusion centers' development of their own SINs; and strengthening the process by which the Department captures the needs of analysts supporting private sector customers. These efforts resulted in the modification and production of educational materials for: DHS Components; the fusion centers and their state, local, tribal, and territorial stakeholders; and intelligence analysts serving the private sector. I&A collaborated with the National Network of Fusion Centers (NNFC) and its interagency partners to design and implement the 2011 Fusion Center Assessment, which evaluated the progress of the NNFC in achieving both the Critical Operational Capabilities and Enabling Capabilities. These capabilities were designed to ensure the state and locally operated fusion centers all have uniform baseline abilities despite differences that naturally occur in a distributed management model. In September, I&A interviewed Fusion Center Directors to refine and validate the assessment which ultimately found that 65 percent of these critical elements had been implemented.

Based on customer feedback on State and Local Support Requests, I&A, and Operations began consolidating their process for handling Requests for Information (RFI) and expanding the DHS Single Point of Service. This expanded service will streamline the process by which I&A and Operations receive, process, track, and respond to operational



and intelligence RFIs. I&A led an interdepartmental effort to certify all legacy Information Sharing Access Agreements with external partners. I&A, in collaboration with Customs and Border Protection, Federal Emergency Management Administration, and U.S. Coast Guard, certified over 130 of these legacy agreements. This surge in compliant agreements puts the Department ahead of schedule toward achieving the goal of having all legacy agreements compliant by the end of fiscal year 2012.

## Results

**Table 24: Priority Goal 7 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of products directly responsive to State, Local, Tribal, and Territorial and Component Standing Information Needs (I&A)	---	85%
Percent of valid state, local, and federal support requests answered within the mutually agreed upon suspense date to the requestor's satisfaction (I&A)	---	85%
Percent of information sharing agreements with external partners that incorporate all DHS Components (I&A)	34%	75%

## *Priority Goal 8: Maturing and Strengthening the Homeland Security Enterprise by Improving Acquisition Execution*

### Goal Statement

Improve acquisition execution across the DHS acquisition portfolio, by ensuring key acquisition expertise resides in major program office and acquisition oversight staffs throughout the Department.



Goal Leader: Chris Cummiskey, Deputy Undersecretary for Management

### Overview

The Department of Homeland Security is working to ensure its major acquisitions are effectively managed in order to maximize the value of every homeland security dollar. DHS will ensure that every major program is implemented in the most responsible and efficient manner possible. This goal includes having disciplined oversight processes and robust acquisition program management teams in place. Disciplined oversight processes begin with having a well-defined acquisition requirement and a cost, schedule and performance plan (acquisition program baseline) against which program managers are held accountable for results. Additionally, DHS will ensure acquisition programs and oversight offices are staffed with personnel who possess the requisite government experience, knowledge, and skills in core acquisition management disciplines.

### Progress Update

The Department has met or exceeded all goals related to strengthening the acquisition programs and oversight offices to ensure DHS major acquisitions are effectively managed in



order to maximize the value of every DHS dollar. At the end of September 2011, 94 percent of the program managers of major acquisition programs were properly certified in accordance with Department policy, exceeding the FY 2011 target goal of 93 percent. We have increased the number of Program Management Offices (PMO) reporting that they have all five of their respective core positions filled or matrixed from 20 at the end of FY 2010 to 34 in FY 2011 and have increased the number of approved Acquisition Program Baselines (APBs) from 17 to 28 at the end of the fourth quarter FY 2011. The current percent of major acquisition programs with a core team, signed APB, and meeting cost/schedule/performance is 89 percent, exceeding the FY 2011 goal of 70 percent. All seven major operational Components have a Component Acquisition Executive (CAE) in place (100 percent). The total number of CAE staff positions filled has also increased from 25 to 42. The current percent of Component acquisition oversight organizations with core team positions filled or matrixed is 75 percent, exceeding the FY 2011 goal of 70 percent. The percent of PMOs with major acquisition program core team positions filled is roughly 70 percent, which achieves the Department’s goal. The DHS Acquisition Workforce Initiative funding was not funded in the FY 2011 appropriations and the Department continues to work closely with Congress and the Office of Management and Budget to secure the funding for additional acquisition positions in FY 2012, which is a significant piece of this initiative. Additionally, this year, the Under Secretary for Management has implemented major initiatives to include building the Department’s Program Management Corps by strengthening training and certification and expanding the current acquisition mentoring program.

## Results

**Table 25: Priority Goal 8 Performance Measures**

Performance Measures	FY 2010 Results	FY 2011 Results
Percent of major acquisition programs with properly certified program managers (DMO)	84%	94%
Percent of Department major acquisition program core team positions that are filled (DMO)	67%	70%
Percent of major acquisition programs with a core team in place and a signed Acquisition Program Baseline (APB) that are meeting the cost, schedule or performance threshold agreed to in the APB (DMO)	100%	89%
Percent of Component acquisition oversight organization core team positions that are filled (DMO)	44%	75%
Percent of Components with approved Component Acquisition Executives (DMO)	85%	100%





## DHS Workforce Strategy

The DHS Workforce Strategy for Fiscal Years 2011-2016 aligns with and supports Departmental priorities identified in the Quadrennial Homeland Security Review (QHSR), Bottom-Up Review, and areas of improvement identified by the U.S. Government Accountability Office (GAO). Developed by a cross-Component working group and signed by the Secretary, the DHS Workforce Strategy provides the strategic roadmap to make DHS a premier employer for the top talent necessary to secure the homeland. The plan is built around the following four goals:

1. Build an effective, mission-focused, diverse, and inspiring leadership cadre.
2. Recruit a highly qualified and diverse workforce.
3. Retain an engaged workforce.
4. Solidify a unified DHS culture of mission performance, adaptability, accountability, equity, and results.

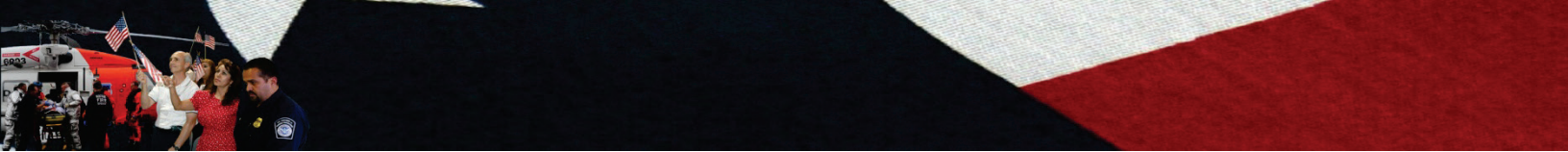
All Components submitted FY 2011 operational plans that incorporated the common objectives and performance measures that cascade from these goals. In FY 2011, accomplishments in these areas included:

**Build an effective, mission-focused, diverse, and inspiring leadership cadre:** A cross-DHS group developed a comprehensive Leader Development Program and Framework to reflect optimal leader development roadmaps for all levels of employees. For example, the Cornerstone program, a top priority for the Deputy Secretary, provides a consistent baseline of requirements for the development of some 27,000 supervisors, managers, and executives across the Department. The program provides pre-supervisory awareness, supervisor onboarding, 40 hours of development during the first 11 months of appointment, and an annual requirement for all supervisors to complete 12 hours of self-development and 12 hours of “give back” as investment in developing leadership in other DHS employees.

**Recruit a highly qualified and diverse workforce:** Through a collaborative process, DHS developed a new DHS Coordinated Recruiting and Outreach Strategy. This streamlined approach will leverage recruiting assets from around the country and will strengthen the One DHS brand. Moreover, recruiting efforts will target all underrepresented groups, including individuals with disabilities and Veterans. DHS surpassed the Secretary’s goal of having 50,000 veterans on board in FY 2011, more than one year in advance of the target date.

**Retain an engaged workforce:** DHS has been working on multiple fronts to enhance employee engagement, including leadership involvement in the DHS Labor Management Forum and the launch of the Homeland Security Rotational Program. The Secretary has also issued a series of actions to address gaps identified in the [2011 Federal Employee Viewpoint Survey](#), including establishing an employee engagement executive steering committee.

**Solidify a unified DHS culture of mission performance, adaptability, accountability, equity, and results.** OCHCO and OCIO have worked with the Human Resource Information Technology (HRIT) Executive Steering Committee to develop a segment architecture for Human Capital and a long-term strategy to eliminate redundancy in HRIT systems across the Department. By consolidating, integrating, and modernizing the Department’s HRIT infrastructure, DHS will have the flexibilities and management information to evolve continuously in response to changing business, legislative, and economic drivers.



## GAO High-Risk Series – Summary of Progress

The [Government Accountability Office](#) (GAO) identifies in a [High-Risk Series report](#), those federal programs and operations that are high risk due to their greater vulnerabilities to fraud, waste, abuse, and mismanagement. In recent years, GAO has also identified high-risk areas to focus on the need for broad-based transformations to address major economic, efficiency, or effectiveness challenges. The GAO maintains these high-risk items until satisfied that acceptable progress has occurred to address these challenges. An update of the High-Risk Series is provided by GAO at the start of each new Congress. The most recent update ([GAO-11-278](#)) was published in February 2011. The areas that fall within the Department of Homeland Security’s (DHS) purview are listed below.

- Implementing and Transforming the Department of Homeland Security
- Establishing Effective Mechanisms for Sharing Terrorism-Related Information to Protect the Homeland
- Protecting the Federal Government’s Information Systems and the Nation’s Critical Infrastructure
- National Flood Insurance Program
- Strategic Human Capital Management (Government-wide high-risk area)
- Federal Real Property Management (Government-wide high-risk area)

The Department carries out multiple complex and highly diverse missions. Although the Department continually strives to improve the efficiency and effectiveness of its programs and operations, the areas identified above merit a higher level of focus and attention. Typically, overcoming challenges in these areas require long-term strategies for ensuring stable operations, sustained management attention, and resources. As such, DHS’s Under Secretary for Management has implemented a quarterly review of the Department’s progress in addressing each of these areas.

The remainder of this section of the report provides a brief summary of the Department’s efforts in addressing each of the GAO’s High-Risk areas.



## Status Update

### GAO High-Risk Area: Implementing and Transforming the Department of Homeland Security

**GAO Overview:** In 2003, GAO designated implementing and transforming the Department of Homeland Security (DHS) as high risk because DHS had to transform 22 agencies—several with major management challenges—into one department. GAO’s prior work on mergers and acquisitions, undertaken before the creation of DHS, found that successful transformations of large organizations, even those faced with less strenuous reorganizations than DHS, can take years to achieve. DHS, with more than 200,000 employees and an annual budget of more than \$40 billion, is the third-largest federal department, and its transformation is critical to achieving its homeland security missions. This high-risk area includes challenges in strengthening DHS’s management functions, including acquisition, information technology, financial, and human capital management; the impact of those challenges on DHS’s mission implementation; and challenges in integrating management functions within and across the Department and its Components.

**DHS Status:** In January 2011, the Under Secretary for Management (USM) issued the “Integrated Strategy for High Risk Management” to address GAO’s high risk designation in the “implementation and transformation” category. This plan provided a roadmap and set forth the USM’s management priorities, which included:

1. Improving the Department’s financial systems and capabilities;
2. Strengthening acquisition management, especially in the program management arena;
3. Standardizing how the Department prioritizes investments, makes trade-off decisions, rationalizes technical requirements, allocates resources and develops implementation strategies;
4. Enhancing business intelligence to inform critical budget and programmatic decisions; and
5. Implementing the strategies in the Department’s Human Capital Management Plan.

In January 2012, the USM submitted its second biannual update to this report to GAO. It included detailed corrective action plans to address GAO’s recommendations in the “implementation and transformation” category, initiative milestones, and an enhanced methodology to show progress over time. The USM is optimistic that the Department’s progress in the management integration category will be noted in the next GAO High Risk Update, expected in January 2013.

Other activities to track progress within the department include quarterly Internal Progress Reviews (IPRs) and the Management Council. The purpose of the quarterly IPRs is to assess each Line-of-Business Chief’s progress on key management programs and initiatives. While the Line-of-Business Chiefs attend the IPRs, the actual progress reports are presented by the initiative’s program manager, which promotes visibility and accountability within the Management Directorate. The USM is using the Management Council, to focus on initiatives that solidify the vertical integration and will also promote stronger horizontal integration between each Component.



**GAO High-Risk Area:** Establishing Effective Mechanisms for Sharing Terrorism-Related Information to Protect the Homeland

**GAO Overview:** In January 2005, GAO designated terrorism-related information sharing as high risk because the government faced serious challenges in analyzing key information and sharing it among federal, state, local, and other security partners in a timely, accurate, and useful way to protect against terrorist threats. GAO has since monitored federal efforts to implement the Information Sharing Environment (Environment)—an approach that facilitates the sharing of terrorism and homeland security information, which may include any method determined necessary and appropriate. The Environment is to serve as an overarching solution to strengthening the sharing of intelligence, terrorism, law enforcement, and other information among these partners.

GAO found that the government had begun to implement some initiatives that improved sharing but did not yet have a comprehensive approach that was guided by an overall plan and measures to help gauge progress and achieve desired results. In addition, recent homeland security incidents and the changing nature of domestic threats, among other things, make continued progress in improving sharing critical.

**DHS Status:** In the ten years since 9/11, the Federal Government has strengthened the connection between collection and analysis on transnational organizations and threats. Terrorism-related information sharing across the intelligence community has greatly improved, and through the establishment of the DHS Office of Intelligence & Analysis (I&A), we have strengthened the ability to convey intelligence on threats to the homeland in a context that is useful and relevant to law enforcement and homeland security officials at the state and local level.

DHS, working closely with the FBI and other federal partners, has re-focused its information sharing and production efforts to better address the needs of state and local governments and private sector partners. DHS consults with law enforcement officials from major metropolitan areas, the directors of fusion centers, and State Homeland Security Advisors to tailor the Department's products and briefings to better support state and local law enforcement and homeland security officials.

Consistent with the direction the President has set for a robust information sharing environment, DHS provides, in coordination with the FBI and other federal partners, regular training programs for local law enforcement and homeland security officials to help them identify indicators of terrorist activity. In addition, DHS continues to improve and expand the information-sharing mechanisms by which front line personnel are made aware of the threat picture, vulnerabilities, and what it means for their local communities.





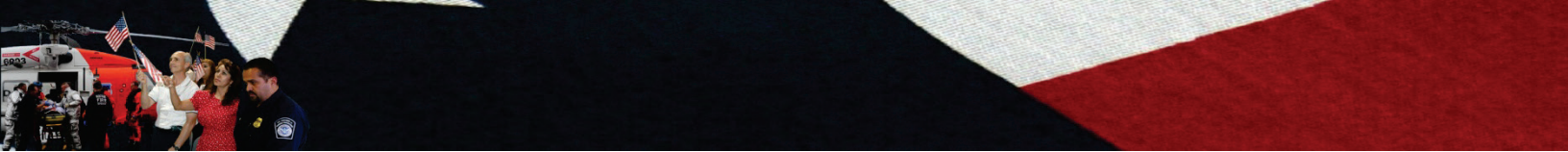
## **GAO High-Risk Area:** Protecting the Federal Government's Information Systems and the Nation's Critical Infrastructure

**GAO Overview:** Federal agencies and our nation's critical infrastructures—such as distribution, water supply, telecommunications, and emergency services—rely extensively on computerized information systems and electronic data to carry out their operations. The security of these systems and data is essential to protecting national and economic security, and public health and safety. Safeguarding federal computer systems and the systems that support critical infrastructures—referred to as cyber critical infrastructure protection or cyber CIP—is a continuing concern. Federal information security has been on GAO's list of high-risk areas since 1997; in 2003, GAO expanded this high-risk area to include cyber CIP. Risks to information systems include continuing insider threats from disaffected or careless employees and business partners, escalating and emerging threats from around the globe, the ease of obtaining and using hacking tools, the steady advance in the sophistication of attack technology, and the emergence of new and more destructive attacks.

**DHS Status:** DHS has made significant progress in improving its ability to protect against cyber threats by advancing the National Cyber Security Division's (NCS) cyber analysis and warning capabilities, acquiring enhanced analytical and technical capabilities, developing strategies for hiring and retaining highly qualified cyber analysts, and strengthening the effectiveness of its public-private sector partnerships in securing cyber critical infrastructure. For example, DHS developed the National Cyber Incident Response Plan to coordinate incident management, enhance data flow, and support analytical collaboration between federal, state, and local government entities as well as private sector partners. Additionally, the National Cybersecurity and Communications Integration Center has brought together the operational components of the Office of Cybersecurity and Communications to improve information sharing and develop a common operational picture of the cybersecurity landscape across networks.

DHS is working with the Office of Management and Budget to strengthen cybersecurity across Federal Executive Branch civilian agencies, including in the areas of continuous monitoring and automated asset, configuration and vulnerability management, two-factor authentication, and Trusted Internet Connections (TIC) Initiative compliance. DHS continues to build relationships and mechanisms to improve information sharing by sponsoring SECRET and TS/SCI clearances for critical infrastructure representatives and developing collaborative frameworks through which classified and unclassified threat, vulnerability, and mitigation information is shared. DHS's United States Computer Emergency Readiness Team now provides Department and Agency Cybersecurity Reports, which provide individual agencies a better understanding of their EINSTEIN 2 data. Finally, NCS has significantly grown its federal cyber workforce over the last three years in order to ensure it maintains technical expertise commensurate with its critical mission.

Senior NPPD and GAO officials meet quarterly to keep abreast of ongoing cyber activities, discuss DHS's strategic direction in cybersecurity, and review the status of open recommendations. This year, NCS has provided GAO with a significant amount of documentation to close over 15 open recommendations, most of which provide the basis for GAO's high-risk report findings related to cybersecurity. These include recommendations related to cyber analysis and warning, public-private partnerships, and the TIC and EINSTEIN initiatives.



### GAO High-Risk Area: National Flood Insurance Program

**GAO Overview:** The National Flood Insurance Program (NFIP) is a key component of the federal government's efforts to limit the damage and financial impact of floods; however, it likely will not generate sufficient revenues to repay the billions of dollars borrowed from the Treasury Department to cover claims from the 2005 hurricanes or future catastrophic losses. The lack of sufficient revenues highlights structural weaknesses in how the program is funded. Also, weaknesses in NFIP management and operations, including financial reporting processes and internal controls, and oversight of contractors place the program at risk. The Federal Emergency Management Agency (FEMA), within the Department of Homeland Security, is responsible for managing NFIP. While FEMA has taken some steps to address these issues, including increasing the number of policyholders and implementing new contractor oversight processes, it continues to face complex challenges, and Congress needs to act to restructure the program.

**DHS Status:** FEMA is improving financial reporting processes and strengthening internal controls over the Write Your Own (WYO) companies by working with the Office of the Inspector General to conduct an annual audit of NFIP financial statements beginning in FY 2012. FEMA is working with the National Association of Insurance Commissioners to improve insurance expense data to determine the WYO Expense Allowance. FEMA is also enhancing the NFIP rate setting process by using Geographic Information System data to assess the impact of grandfathering and reviewing existing depth damage data to ensure consistency in reporting. FEMA has established a Project Management Office to ensure effective oversight of contractors performing key NFIP data collection, reporting, and insurance functions.

### GAO High-Risk Area: Strategic Human Capital Management (Government-wide high-risk area)

**GAO Overview:** GAO initially designated strategic human capital management as a high-risk area because of the long-standing lack of leadership of strategic human capital management. While significant steps have been taken, the area remains high risk because of a need to address current and emerging critical skills gaps that are undermining agencies' abilities to meet their vital missions. The Federal Government's current budget and long-term fiscal pressures underscore the importance of a strategic and efficient approach to recruitment, hiring, development, and retention of individuals with the needed critical skills.

**DHS Status:** DHS's Office of the Chief Human Capital Officer recently implemented a comprehensive Workforce Strategy for Fiscal Years 2011 – 2016 in support of the Department's missions and responsibilities. For more information on this strategy and our FY 2011 accomplishments, please see the [DHS Workforce Strategy](#) section previously in this report.



**GAO High-Risk Area: Federal Real Property Management (Government-wide high-risk area)**

**GAO Overview:** The federal real property portfolio is vast and diverse. It totals over 900,000 buildings and structures with a combined area of over 3 billion square feet. Progress has been made on many fronts, including significant progress with real property data reliability and managing the condition of facilities. However, federal agencies continue to face long-standing problems, such as overreliance on leasing, excess and underutilized property, and protecting federal facilities. As a result, this area remains on GAO’s High-Risk List, with the exceptions of government wide real property data reliability and management of condition of facilities, which GAO found to be sufficiently improved to be no longer considered high risk. Additionally, challenges persist with the Department of Defense’s management of its real property.

**DHS Status:** DHS continues to work through the Federal Real Property Council to improve property management and reduce overreliance on leasing, excess and underutilized property, and protecting federal facilities. The Department and our Components are committed to reducing real property spending in accordance with the Presidential memo on Real Property Planning and Cost Savings. The master plan, approved in January 2009 for DHS’s Consolidated Headquarters to reduce its 55 leased and federally-owned locations throughout the National Capital Region to 7 – 10 locations, will significantly reduce DHS’s reliance on leasing when implemented. Additionally, the U.S. Coast Guard Headquarters building and support facilities at St. Elizabeths are on schedule for occupancy in 2013.



## Low-Priority Program Activities

The 2013 Cuts, Consolidations, and Savings (CCS) Volume of the President's Budget identifies the lower-priority program activities under the *GPR Modernization Act*, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.





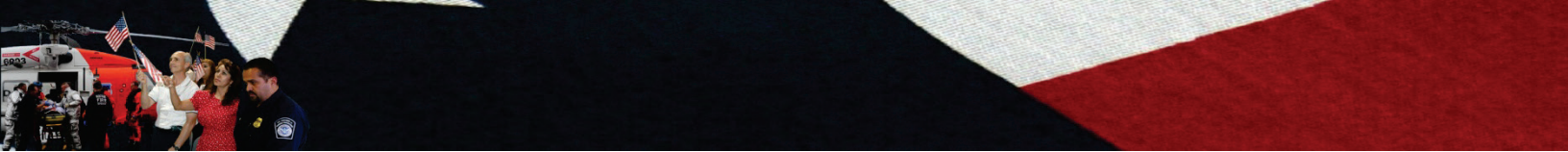
## Component Acronyms

Below is the list of DHS Components and their Acronyms.

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AO – Analysis and Operations  
CBP – U.S. Customs and Border Protection  
DMO – Departmental Management and Operations  
DNDO – Domestic Nuclear Detection Office  
FEMA – Federal Emergency Management Agency  
FLETC – Federal Law Enforcement Training Center  
ICE – U.S. Immigration and Customs Enforcement  
IG – Office of the Inspector General  
NPPD – National Protection and Programs Directorate  
OHA – Office of Health Affairs  
S&T – Science and Technology Directorate  
TSA – Transportation Security Administration  
USCG – U.S. Coast Guard  
USCIS – U.S. Citizenship and Immigration Services  
USSS – U.S. Secret Service

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Homeland  
Security



Homeland  
Security



### FY 2013 Budget Overview

	FY 2011 Enacted <sup>1</sup>	FY 2012 Enacted <sup>2</sup>	FY 2013 Pres. Budget	FY 2013 +/- FY 2012
	\$000	\$000	\$000	\$000
Net Discretionary:	\$ 42,206,179	\$ 46,248,145	\$ 44,942,110	\$ (1,306,035)
Discretionary Fees:	3,442,780	3,547,405	3,756,720	209,315
<i>Less rescission of prior year funds:</i> <sup>3</sup>	(524,185)	(200,736)	-	200,736
<b>Gross Discretionary</b>	<b>45,124,774</b>	<b>49,594,814</b>	<b>48,698,830</b>	<b>(895,984)</b>
Mandatory, Fee, Trust Funds:	9,682,503	10,118,541	10,333,516	214,975
<b>Total Budget Authority:</b>	<b>\$ 54,807,277</b>	<b>\$ 59,713,355</b>	<b>\$ 59,032,346</b>	<b>\$ (681,009)</b>
Supplemental: <sup>4</sup>	\$ -	\$ -	\$ -	\$ -
<i>Less rescission of prior year supplemental funds:</i>	\$ -	\$ -	\$ -	\$ -

1/ FY 2011 Enacted:

- Reflects 0.2% across the board rescission pursuant to P.L. 112-10.
- Includes a transfer of \$15.968 million from FEMA to OIG pursuant to P.L. 112-10.
- Reflects technical adjustments of -\$52.761 million to revise CBP fee levels.
- Reflects a technical adjustment of \$21.560 million to revise TSA - Aviation Security fee levels.
- Reflects a scorekeeping adjustment for a rescission of prior year unobligated balances from USCG - AC&I of -\$10.122 million.
- Excludes the following from USCG funding levels: Overseas Contingency Operations of \$254.0 million; National Science Foundation transfer of \$54.0 million.
- Reflects a technical adjustment of \$327.647 million to USCIS fee authority for the Immigration Exams Fee.

2/ FY 2012 Enacted:

- Includes a transfer of \$24.0 million from FEMA to the OIG pursuant to P.L. 112-74.
- Reflects technical adjustments of \$80.532 million for CBP fee levels.
- Reflects a technical adjustment of \$24.486 million for TSA - Aviation Security revised fee levels.
- Reflects a scorekeeping adjustment for a rescission of prior year unobligated balances from USCG - AC&I of -\$3.456 millions.
- Excludes USCG Overseas Contingency Operations of \$258.0 million P.L. 112-74.
- Includes \$63.5 million transfer to USCG - AC&I from DoD pursuant to P.L. 112-74.
- Reflects FEMA Disaster Relief base funds of \$700 million and an additional \$6.4 billion enacted separately pursuant to the Budget Control Act.
- Reflects a technical adjustment of \$24.062 million to revise the FPS offsetting fee levels.
- Reflects technical adjustments of \$438.653 million to revise USCIS fee levels.

3/ Rescissions of Prior Year Unobligated Balances:

- Pursuant to P.L. 112-10, reflects FY 2011 rescissions of prior year unobligated balances: -\$524.185 million.
- Pursuant to P.L. 112-74, reflects FY 2012 rescissions of prior year unobligated balances: -\$200.736 million.

4/ No Supplemental was received in FY 2011 & FY 2012.



**Department of Homeland Security  
Total Budget Authority**

	FY 2011 Enacted			FY 2012 Enacted			FY 2013 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Appropriated Resources:	856	793	334,360	908	851	338,068	925	849	321,982
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-
<b>Office of the Inspector General</b>	<b>683</b>	<b>665</b>	<b>129,614</b>	<b>683</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>683</b>	<b>143,664</b>
Operating expenses [Audit, Inspections, and Investigations Program].....	683	665	129,614	683	676	141,000	683	683	143,664
Rescission of Prior Year Unobligated Balances	[0]	[0]	-[223]						
Net Discretionary	683	665	129,614	683	676	141,000	683	683	143,664
Adjusted Net Discretionary	683	665	129,391	683	676	141,000	683	683	143,664
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	683	665	129,614	683	676	141,000	683	683	143,664
Adjusted Gross Discretionary	683	665	129,391	683	676	141,000	683	683	143,664
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-
Appropriated Resources:	683	665	129,614	683	676	141,000	683	683	143,664
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-
<b>Total, Title I, Departmental Management and Operations (Totals Appropriated Resources).....</b>	<b>3,560</b>	<b>3,382</b>	<b>1,303,266</b>	<b>3,689</b>	<b>3,606</b>	<b>1,281,953</b>	<b>3,730</b>	<b>3,654</b>	<b>1,278,624</b>
<b>TITLE II - SECURITY, ENFORCEMENT, &amp; INVESTIGATIONS</b>									
<b>Customs and Border Protection</b>	<b>59,551</b>	<b>58,910</b>	<b>11,245,410</b>	<b>61,329</b>	<b>60,888</b>	<b>11,737,569</b>	<b>61,447</b>	<b>61,160</b>	<b>11,979,454</b>
<b>Salaries and expenses:</b>	<b>50,067</b>	<b>51,482</b>	<b>8,196,201</b>	<b>53,598</b>	<b>53,249</b>	<b>8,680,118</b>	<b>53,897</b>	<b>53,702</b>	<b>9,010,581</b>
Headquarters Management and Administration.....	4,804	4,646	1,462,776	4,788	4,606	1,868,852	4,872	4,690	1,881,931
M&A, Border Security Inspections and Trade Facilitation.....	2,398	2,320	505,981	2,380	2,288	667,794	2,423	2,331	601,414
M&A, Border Security and Control between Ports of Entry.....	2,406	2,326	505,983	2,408	2,318	717,309	2,449	2,359	665,646
Rent.....	-	-	450,812	-	-	483,749	-	-	614,871
Border Security Inspections and Trade Facilitation.....	20,067	21,685	2,893,564	23,219	23,053	2,903,761	23,157	23,158	2,960,358
Inspections, Trade, and Travel Facilitation at Ports of Entry.....	18,836	20,476	2,474,344	22,006	21,893	2,484,235	21,944	21,966	2,480,674
Harbor Maintenance Fee Collection (Trust Fund).....	-	-	3,274	-	-	3,274	-	-	3,285
International Cargo Screening (Container Security Initiative).....	440	433	103,945	374	368	74,557	374	368	71,534
Other international programs.....	60	60	11,119	72	72	10,684	72	72	27,084
C-TPAT [C-TPAT/ FAST/NEXUS/SENTRI].....	279	274	45,454	248	244	44,979	248	244	40,082
Free and Secure Trade (FAST) NEXUS/SENTRI (Trusted Traveler Program - TTP).....	-	-	10,751	-	-	6,311	-	-	6,311
Inspection and Detection Technology.....	52	50	144,162	52	50	148,537	52	50	117,575
Automated Targeting Systems.....	39	37	32,389	34	32	41,400	34	32	113,826
National Targeting Center.....	348	342	47,347	397	359	51,950	397	391	65,127
Training at the Ports of Entry.....	13	13	20,778	36	35	37,834	36	35	34,860
Border Security and Control between Ports of Entry.....	23,279	23,221	3,544,339	23,672	23,675	3,619,604	23,643	23,646	3,625,950
Border Security and Control.....	23,104	23,047	3,508,244	23,301	23,306	3,530,994	23,272	23,277	3,551,840
Training Between the Ports of Entry.....	175	174	36,094	371	369	88,610	371	369	74,110
Air and Marine Operations, Personnel Compensation and Benefits.....	1,917	1,930	295,521	1,919	1,915	287,901	1,874	1,870	280,819
US VISIT (FY12).....	-	-	-	-	-	-	351	338	261,523
<b>Automation modernization:</b>	<b>63</b>	<b>63</b>	<b>335,902</b>	<b>63</b>	<b>63</b>	<b>334,275</b>	<b>63</b>	<b>63</b>	<b>327,526</b>
ACE/ITDS.....	62	62	147,794	62	62	140,000	62	62	140,794
COPPS.....	1	1	188,108	1	1	194,275	1	1	186,732
<b>Border Security Fencing, Infrastructure, and Technology:</b>	<b>226</b>	<b>213</b>	<b>573,025</b>	<b>205</b>	<b>205</b>	<b>400,000</b>	<b>-</b>	<b>-</b>	<b>327,099</b>
Development and Deployment.....	-	-	324,621	-	-	212,377	-	-	188,816
Operations and Maintenance.....	-	-	172,019	-	-	133,248	-	-	138,283
Program Management.....	226	213	76,385	205	205	54,375	-	-	-
<b>Air and Marine Interdiction:</b>	<b>-</b>	<b>-</b>	<b>515,293</b>	<b>-</b>	<b>-</b>	<b>503,966</b>	<b>-</b>	<b>-</b>	<b>435,769</b>
Operations and maintenance.....	-	-	370,899	-	-	365,087	-	-	368,799
Procurement.....	-	-	144,395	-	-	138,879	-	-	66,970





**Department of Homeland Security  
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	FY 2011 Enacted			FY 2012 Enacted			FY 2013 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
<b>Fee accounts:</b>	<b>226</b>	<b>238</b>	<b>304,800</b>	<b>387</b>	<b>289</b>	<b>311,869</b>	<b>387</b>	<b>269</b>	<b>311,869</b>
Immigration inspection user fee.....	22	22	109,800			116,869	-	-	116,869
Detention and Removal Examination fee.....	-	-	-			-	-	-	-
Breached bond/detention fund.....	-	-	75,000			75,000	-	-	75,000
Student exchange and visitor fee.....	204	216	120,000	387	289	120,000	387	269	120,000
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-28,214]			[-25,607]			
Net Discretionary	20,213	19,693	5,500,620	21,634	19,982	5,550,584	21,739	19,996	5,332,192
Adjusted Net Discretionary	20,213	19,693	5,472,405	21,634	19,982	5,524,977	21,739	19,996	5,332,192
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	20,213	19,693	5,500,620	21,634	19,982	5,550,584	21,739	19,996	5,332,192
Adjusted Gross Discretionary	20,213	19,693	5,472,405	21,634	19,982	5,524,977	21,739	19,996	5,332,192
Mandatory, Fees, Trust Funds	226	238	304,800	387	289	311,869	387	269	311,869
Appropriated Resources:	20,213	19,693	5,500,620	21,634	19,982	5,550,584	21,739	19,996	5,332,192
(FPS plus Fees) Non-Appropriated Resources:	226	238	304,800	387	289	311,869	387	269	311,869
<b>Transportation Security Administration</b>	<b>61,028</b>	<b>54,825</b>	<b>7,687,552</b>	<b>61,938</b>	<b>55,722</b>	<b>7,841,019</b>	<b>62,072</b>	<b>57,208</b>	<b>7,644,585</b>
<b>Aviation Security:</b>	<b>58,319</b>	<b>52,269</b>	<b>5,213,307</b>	<b>58,749</b>	<b>52,705</b>	<b>5,253,956</b>	<b>58,783</b>	<b>54,088</b>	<b>5,098,639</b>
Screening Operations.....	53,527	47,855	4,266,074	53,099	47,458	4,167,631	53,126	48,595	4,022,439
Screener Workforce.....	53,293	47,630	3,065,284	52,877	47,245	3,169,964	52,877	48,356	3,250,839
Screening Partnership Program [Privatized Screening].....	-	-	144,470	-	-	144,193	-	-	143,190
Passenger & Baggage TSO PC&B [Passenger & Baggage Screener - PC&B].....	53,293	47,630	2,920,813	52,877	47,245	3,025,771	52,877	48,356	3,107,649
Screening Training and Other.....	56	55	243,402	48	47	249,796	66	64	225,012
Checkpoint Support.....	56	54	328,843	54	52	204,768	61	59	120,239
EDS/ETD Systems.....	122	116	628,545	120	114	543,103	122	116	426,349
EDS Procurement and installation.....	122	116	290,843	120	114	222,738	122	116	117,349
Screening Technology Maintenance & Utilities [EDS/ETD Maintenance].....	-	-	316,247	-	-	320,365	-	-	309,000
Operation Integration.....	-	-	21,455	-	-	-	-	-	-
Aviation Direction and Enforcement.....	4,792	4,414	947,233	5,650	5,247	1,086,325	5,657	5,493	1,076,200
Aviation Regulation and Other Enforcement.....	1,424	1,224	318,285	1,726	1,482	369,984	1,732	1,662	371,989
Airport Management, IT, and Support.....	2,582	2,435	489,142	3,081	2,974	570,226	3,082	3,022	569,615
FFDO and Flight Crew Training.....	30	29	25,118	44	42	25,461	44	42	12,500
Air Cargo.....	756	726	114,689	799	749	120,654	799	767	122,096
[Offsetting Fee collections - All]	[0]	[0]	[-2,121,560]	[0]	[0]	[-2,054,486]	-	-	[-2,209,171]
<b>Surface Transportation Security:</b>	<b>820</b>	<b>787</b>	<b>105,749</b>	<b>807</b>	<b>775</b>	<b>134,748</b>	<b>807</b>	<b>775</b>	<b>124,276</b>
Staffing and operations.....	171	165	39,712	158	153	38,514	158	153	36,711
Surface Transportation Security Inspectors [Rail Security Inspectors and Canines].....	649	622	66,037	649	622	96,234	649	622	87,565
<b>Transportation Threat Assessment &amp; Credentialing:</b>	<b>279</b>	<b>258</b>	<b>203,893</b>	<b>512</b>	<b>487</b>	<b>204,274</b>	<b>490</b>	<b>464</b>	<b>272,351</b>
Secure Flight.....	113	108	84,194	332	314	92,414	308	291	107,074
Other Vetting/Screening Administration and Operations.....	113	98	78,479	127	121	71,540	127	121	85,557
Transportation Worker Identification Credential (TWIC) - Disc. offsetting fee.....	21	21	9,200	21	21	8,300	21	21	47,300
HAZMAT - offsetting fee.....	17	17	12,000	17	17	12,000	17	17	12,000
Certified Cargo Screening Program - Disc. offsetting fee.....	-	-	5,200	9	8	5,200	11	8	7,200
Large Aircraft Security Program - Disc. offsetting fee.....	-	-	1,200	-	-	1,200	-	-	-
Secure Identification Display Area Checks - Disc. offsetting fee.....	-	-	8,000	-	-	8,000	-	-	8,000
Other Security Threat Assessments - Disc. offsetting fee.....	-	-	100	-	-	100	-	-	120
General Aviation at DCA - Disc. offsetting fee.....	-	-	100	-	-	100	-	-	100
Indirect Air Cargo - Disc. offsetting fee.....	9	8	1,400	-	-	1,400	-	-	-
Sensitive Security Information (SSI) - Disc. offsetting fee.....	-	-	20	-	-	20	-	-	-
Alien Flight School (by transfer from DOJ) - mandatory fee.....	6	6	4,000	6	6	4,000	6	6	5,000
<b>Transportation Security Support:</b>	<b>1,610</b>	<b>1,511</b>	<b>986,661</b>	<b>1,870</b>	<b>1,755</b>	<b>1,031,926</b>	<b>1,992</b>	<b>1,881</b>	<b>969,709</b>
Intelligence.....	211	180	32,911	232	223	42,992	256	246	45,130
Administration.....	1,399	1,331	953,750	1,638	1,532	988,934	1,736	1,635	924,579
Headquarters Administration.....	1,013	960	254,000	1,256	1,172	292,334	1,283	1,206	281,554
Human Capital Services.....	231	222	233,658	156	144	249,400	164	152	225,829
Information Technology.....	155	149	466,092	226	216	447,200	289	277	417,196
<b>Aviation Security Capital Fund:</b>	<b>-</b>	<b>-</b>	<b>250,000</b>	<b>-</b>	<b>-</b>	<b>250,000</b>	<b>-</b>	<b>-</b>	<b>250,000</b>

**Department of Homeland Security  
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	FY 2011 Enacted			FY 2012 Enacted			FY 2013 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
<b>Federal Air Marshals:</b>	-	-	927,942	-	-	966,115	-	-	929,610
Management and Administration.....	-	-	805,275	-	-	842,500	-	-	815,639
Travel and Training.....	-	-	122,667	-	-	123,615	-	-	113,971
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-18,230]			[-71,596]			
Net Discretionary	60,975	54,773	5,274,772	61,885	55,670	5,496,213	62,017	57,156	5,105,689
Adjusted Net Discretionary	60,975	54,773	5,256,542	61,885	55,670	5,424,617	62,017	57,156	5,105,689
Discretionary Fee Funded	47	46	2,158,780	47	46	2,090,806	49	46	2,283,896
Gross Discretionary	61,022	54,819	7,433,552	61,932	55,716	7,587,019	62,066	57,202	7,389,585
Adjusted Gross Discretionary	61,022	54,819	7,415,322	61,932	55,716	7,515,423	62,066	57,202	7,389,585
Mandatory, Fees, Trust Funds	6	6	254,000	6	6	254,000	6	6	255,000
(Excl. Hill's Non-Add of Gen. Aviation & Indirect Cargo) Appropriated Resources:	60,975	54,773	5,274,772	61,885	55,670	5,496,213	62,017	57,156	5,105,689
(Offsetting+Av. Sec. Cap. Fund + TWIC +Alien Flight) Non-Appropriated Resources:	53	52	2,412,780	53	52	2,344,806	55	52	2,538,896
<b>U.S. Coast Guard</b>	<b>50,381</b>	<b>50,377</b>	<b>10,193,685</b>	<b>51,006</b>	<b>50,711</b>	<b>10,348,886</b>	<b>49,935</b>	<b>50,296</b>	<b>9,966,651</b>
<b>Operating expenses:</b>	<b>48,799</b>	<b>48,912</b>	<b>6,640,031</b>	<b>49,441</b>	<b>49,255</b>	<b>6,793,054</b>	<b>48,385</b>	<b>48,784</b>	<b>6,791,178</b>
Military pay and allowances.....	41,157	41,727	3,345,303	41,445	41,729	3,413,061	40,444	41,197	3,415,595
Civilian pay and benefits.....	7,642	7,185	737,702	7,996	7,526	784,256	7,941	7,587	790,130
Training and recruiting.....	-	-	204,087	-	-	213,321	-	-	212,761
Operating funds and unit level maintenance.....	-	-	1,138,474	-	-	1,109,623	-	-	1,092,419
Centrally managed accounts.....	-	-	345,174	-	-	336,653	-	-	350,178
Intermediate and depot level maintenance.....	-	-	869,291	-	-	936,140	-	-	930,095
Emergency appropriations (Overseas Contingency Operations).....	-	-	[254,000]	-	-	[258,000]	-	-	-
Less adjustment for Defense function.....	-	-	(340,000)	-	-	-	-	-	-
Defense function.....	-	-	340,000	-	-	-	-	-	-
<b>Environmental compliance and restoration:</b>	<b>25</b>	<b>24</b>	<b>13,172</b>	<b>25</b>	<b>24</b>	<b>13,500</b>	<b>25</b>	<b>24</b>	<b>13,162</b>
<b>Reserve training:</b>	<b>536</b>	<b>536</b>	<b>133,365</b>	<b>536</b>	<b>536</b>	<b>134,278</b>	<b>534</b>	<b>535</b>	<b>132,554</b>
<b>Acquisition, construction, and improvements:</b>	<b>910</b>	<b>794</b>	<b>1,506,621</b>	<b>893</b>	<b>785</b>	<b>1,463,968</b>	<b>880</b>	<b>842</b>	<b>1,192,309</b>
Vessels and Critical Infrastructure.....	910	59	41,916	-	-	-	-	-	-
Response Boat Medium(41' UTB and NSB replacement).....	910	59	41,916	-	-	-	-	-	-
Other equipment.....	-	-	35,928	-	-	-	-	-	-
National distress and response system modernization (Rescue 21).....	-	-	35,928	-	-	-	-	-	-
Personnel compensation and benefits.....	-	735	105,871	893	785	110,192	880	842	117,398
Core acquisition costs.....	-	735	509	-	-	600	-	-	600
Direct personnel costs.....	-	-	105,362	893	785	109,592	880	842	116,798
Integrated Deepwater Systems.....	-	-	1,263,967	-	-	-	-	-	-
Aircraft.....	-	-	100,798	-	-	-	-	-	-
Maritime Patrol Aircraft (MPA).....	-	-	39,920	-	-	-	-	-	-
HH-60 conversions.....	-	-	31,936	-	-	-	-	-	-
HC-130H conversion/sustainment.....	-	-	24,950	-	-	-	-	-	-
HC-130J fleet introduction.....	-	-	3,992	-	-	-	-	-	-
Surface ships.....	-	-	1,007,980	-	-	-	-	-	-
National Security Cutter (NSC).....	-	-	690,616	-	-	-	-	-	-
Offshore Patrol Cutter (OPC).....	-	-	44,910	-	-	-	-	-	-
Replacement Patrol Boat (FRC-B).....	-	-	239,520	-	-	-	-	-	-
IDS small boats.....	-	-	2,994	-	-	-	-	-	-
Patrol Boat Sustainment.....	-	-	29,940	-	-	-	-	-	-
Technology Obsolescence Prevention.....	-	-	998	-	-	-	-	-	-
C4ISR.....	-	-	30,439	-	-	-	-	-	-
Deepwater Logistics.....	-	-	49,900	-	-	-	-	-	-
Systems engineering and integration.....	-	-	28,942	-	-	-	-	-	-
Government program management.....	-	-	44,910	-	-	-	-	-	-
Shore facilities and aids to navigation (Major Shore).....	-	-	69,062	-	-	-	-	-	-
Vessels.....	-	-	-	-	-	642,000	-	-	879,500
Survey and design - vessels and boats.....	-	-	-	-	-	6,000	-	-	2,500
Response Boat Medium.....	-	-	-	-	-	110,000	-	-	-
In Service Cutter Sustainment.....	-	-	-	-	-	14,000	-	-	-
National Security Cutter (NSC).....	-	-	-	-	-	77,000	-	-	683,000
Offshore Patrol Cutter (OPC).....	-	-	-	-	-	25,000	-	-	30,000

**Department of Homeland Security  
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	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Fast response cutter.....	-	-	-	-	-	358,000	-	-	139,000
Cutter small boats.....	-	-	-	-	-	5,000	-	-	4,000
Medium Endurance cutter sustainment.....	-	-	-	-	-	47,000	-	-	13,000
Polar Ice Breaking Vessel (new start).....	-	-	-	-	-	-	-	-	8,000
<b>Aircraft:</b> .....	-	-	-	-	-	<b>289,900</b>	-	-	<b>74,500</b>
Airframe replacement (CGNR 6017).....	-	-	-	-	-	18,300	-	-	-
Maritime Patrol Aircraft (MPA).....	-	-	-	-	-	129,500	-	-	43,000
HH-60 conversion projects.....	-	-	-	-	-	56,100	-	-	-
Long range surveillance aircraft.....	-	-	-	-	-	62,000	-	-	-
HH-65 conversion/ sustainment projects.....	-	-	-	-	-	24,000	-	-	31,500
<b>Other Acquisition Programs:</b> .....	-	-	-	-	-	<b>161,140</b>	-	-	<b>76,500</b>
Program oversight and management.....	-	-	-	-	-	26,000	-	-	25,000
Systems engineering and integration.....	-	-	-	-	-	17,140	-	-	2,500
C4ISR.....	-	-	-	-	-	38,500	-	-	40,500
CG-Logistics Information Management System.....	-	-	-	-	-	6,500	-	-	2,500
Nationwide automatic identification system.....	-	-	-	-	-	5,000	-	-	6,000
Rescue 21.....	-	-	-	-	-	65,000	-	-	-
Interagency operations centers.....	-	-	-	-	-	3,000	-	-	-
<b>Other Acquisition Programs:</b> .....	-	-	-	-	-	<b>200,692</b>	-	-	<b>69,411</b>
Major construction: Housing: ATON and Survey and design.....	-	-	-	-	-	112,900	-	-	15,000
Major acquisition systems infrastructure.....	-	-	-	-	-	81,500	-	-	49,411
Minor shore.....	-	-	-	-	-	6,292	-	-	5,000
DoD transfer pursuant to P.L. 112-74.....	-	-	-	-	-	63,500	-	-	-
Less rescission of unexpended funds.....	-	-	(10,122)	-	-	(3,456)	-	-	(25,000)
<b>Research, development, test, and evaluation:</b>	<b>101</b>	<b>101</b>	<b>24,696</b>	<b>101</b>	<b>101</b>	<b>27,779</b>	<b>101</b>	<b>101</b>	<b>19,728</b>
<b>Health Care Fund Contribution:</b>	-	-	<b>265,321</b>	-	-	<b>261,871</b>	-	-	<b>169,977</b>
<b>Retired pay:</b>	-	-	<b>1,400,700</b>	-	-	<b>1,440,157</b>	-	-	<b>1,430,942</b>
<b>Trust Fund:</b>	<b>10</b>	<b>10</b>	<b>209,779</b>	<b>10</b>	<b>10</b>	<b>214,279</b>	<b>10</b>	<b>10</b>	<b>216,801</b>
Boat Safety.....	10	10	117,699	10	10	113,199	10	10	116,221
Maritime Oil Spill Program.....	-	-	92,000	-	-	101,000	-	-	100,500
Gift Fund.....	-	-	80	-	-	80	-	-	80
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-16,920]	-	-	[-40,227]	-	-	[0]
Net Discretionary	50,371	50,367	8,583,206	50,996	50,701	8,694,450	49,925	50,286	8,318,908
Adjusted Net Discretionary	50,371	50,367	8,566,286	50,996	50,701	8,654,222	49,925	50,286	8,318,908
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	50,371	50,367	8,583,206	50,996	50,701	8,694,450	49,925	50,286	8,318,908
Adjusted Gross Discretionary	50,371	50,367	8,566,286	50,996	50,701	8,654,222	49,925	50,286	8,318,908
Mandatory, Fees, Trust Funds	10	10	1,610,479	10	10	1,654,436	10	10	1,647,743
Appropriated Resources:	50,371	50,367	9,983,906	50,996	50,701	10,134,607	49,925	50,286	9,749,850
Non-Appropriated Resources:	10	10	209,779	10	10	214,279	10	10	216,801
<b>U.S. Secret Service</b>	<b>7,057</b>	<b>7,055</b>	<b>1,755,299</b>	<b>7,092</b>	<b>7,055</b>	<b>1,911,617</b>	<b>7,061</b>	<b>7,061</b>	<b>1,850,863</b>
<b>Salaries &amp; Expenses (Protection, Administration and Training):</b>	<b>7,057</b>	<b>7,055</b>	<b>1,511,332</b>	<b>7,092</b>	<b>7,055</b>	<b>1,661,237</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>
Protection.....	4,359	4,359	878,866	4,634	4,599	1,051,829	4,434	4,434	988,334
Protection of persons and facilities.....	3,800	3,800	769,978	3,824	3,789	832,463	3,722	3,722	837,646
National Special Security Event Fund.....	-	-	998	-	-	19,307	-	-	4,500
Protective intelligence activities.....	535	535	67,688	535	535	68,125	535	535	68,373
Presidential candidate nominee protection.....	24	24	17,831	275	275	113,462	170	170	57,960
White House mail screening.....	-	-	22,370	-	-	18,472	7	7	19,855
Investigations (and Field operations).....	2,092	2,092	351,931	1,844	1,843	318,379	1,893	1,893	324,224
Domestic field operations.....	1,683	1,683	256,897	1,457	1,457	223,991	1,526	1,526	238,553
International field office administration and operations.....	74	74	30,644	77	76	32,971	74	74	31,016
Electronic crimes special agent program and electronic crimes task forces.....	315	315	56,042	290	290	53,051	293	293	54,655
Forensic support and grants to NCMC.....	20	20	8,349	20	20	8,366	-	-	-
Administration.....	333	331	226,284	331	330	191,588	451	451	174,669
Headquarters, management and administration.....	333	331	226,284	331	330	191,588	451	451	174,669
Training.....	273	273	54,251	273	273	55,598	273	273	55,749

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	FY 2011 Enacted			FY 2012 Enacted			FY 2013 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Rowley training center.....	273	273	54,251	273	273	55,598	273	273	55,749
Information Integration & Technology Transformation (FY12).....				10	10	43,843	10	10	1,137
<b>Acquisition, construction, improvements &amp; expenses (Rowley Training Ctr):</b>	-	-	<b>3,967</b>	-	-	<b>5,380</b>	-	-	<b>56,750</b>
<b>Retired pay (mandatory - trust fund):</b>	-	-	<b>240,000</b>			<b>245,000</b>			<b>250,000</b>
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-603]			[-1,104]			
Net Discretionary	7,057	7,055	1,515,299	7,092	7,055	1,666,617	7,061	7,061	1,600,863
Adjusted Net Discretionary	7,057	7,055	1,514,696	7,092	7,055	1,665,513	7,061	7,061	1,600,863
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	7,057	7,055	1,515,299	7,092	7,055	1,666,617	7,061	7,061	1,600,863
Adjusted Gross Discretionary	7,057	7,055	1,514,696	7,092	7,055	1,665,513	7,061	7,061	1,600,863
Mandatory, Fees, Trust Funds	-	-	240,000	-	-	245,000	-	-	250,000
Appropriated Resources:	7,057	7,055	1,515,299	7,092	7,055	1,666,617	7,061	7,061	1,600,863
Non-Appropriated Resources:	-	-	240,000	-	-	245,000	-	-	250,000
<b>Total, Title II, Security, Enforcement, and Investigations:.....</b>	<b>188,972</b>	<b>183,646</b>	<b>32,154,498</b>	<b>195,692</b>	<b>187,144</b>	<b>33,002,976</b>	<b>194,945</b>	<b>188,507</b>	<b>32,133,235</b>
<b>TITLE III - PREPAREDNESS AND RECOVERY</b>									
<b>National Protection &amp; Programs Directorate</b>	<b>2,951</b>	<b>2,826</b>	<b>2,331,197</b>	<b>3,278</b>	<b>3,072</b>	<b>2,531,339</b>	<b>2,955</b>	<b>2,787</b>	<b>2,518,778</b>
<b>Management and Administration:</b>	<b>178</b>	<b>178</b>	<b>43,490</b>	<b>243</b>	<b>242</b>	<b>50,695</b>	<b>248</b>	<b>248</b>	<b>50,321</b>
Administrative Activities (Administration).....	139	139	34,613	204	203	46,454	248	248	50,321
Risk Management and Analysis.....	39	39	8,877	39	39	4,241	-	-	-
<b>Federal Protective Service:</b>	<b>1,225</b>	<b>1,225</b>	<b>1,115,000</b>	<b>1,371</b>	<b>1,279</b>	<b>1,285,599</b>	<b>1,371</b>	<b>1,279</b>	<b>1,301,824</b>
Basic security.....	1,225	1,225	220,000	1,371	1,279	271,540	1,371	1,279	271,540
Building specific security (incl. capital equip. replacement/acquisition).....	-	-	420,000	-	-	501,039	-	-	509,056
Reimbursable Security Fees (Contract Guard Services).....	-	-	475,000	-	-	513,020	-	-	521,228
<b>Infrastructure Protection and Information Security:</b>	<b>1,135</b>	<b>1,024</b>	<b>838,763</b>	<b>1,251</b>	<b>1,151</b>	<b>888,243</b>	<b>1,336</b>	<b>1,260</b>	<b>1,166,633</b>
IPIS Management & Administration.....	-	-	-	-	-	-	-	-	-
Capabilities Planning and Evaluation.....	-	-	-	-	-	-	-	-	-
Infrastructure Protection.....	725	688	323,037	681	626	295,452	689	634	255,082
Identification and analysis.....	130	130	82,721	-	-	-	-	-	-
Coordination and information sharing.....	89	89	52,677	-	-	-	-	-	-
Mitigation programs.....	506	469	187,638	-	-	-	-	-	-
Risk analysis.....	-	-	-	-	-	-	-	-	-
Infrastructure analysis and planning (FY12).....	-	-	-	93	89	70,518	89	85	56,909
Sector management and governance (FY12).....	-	-	-	170	143	74,219	194	167	67,132
Regional field operations (FY12).....	-	-	-	165	152	57,367	153	140	56,497
Infrastructure security compliance (FY12).....	-	-	-	253	242	93,348	253	242	74,544
Protective Actions.....	-	-	-	-	-	-	-	-	-
<b>National Cyber Security Division.....</b>	<b>260</b>	<b>186</b>	<b>363,053</b>	<b>398</b>	<b>358</b>	<b>443,176</b>	<b>457</b>	<b>436</b>	<b>769,004</b>
US Computer Emergency Response Team (US-CERT).....	207	144	299,426	-	-	-	-	-	-
Strategic Initiatives (House sub-committee mark).....	37	28	56,766	-	-	-	-	-	-
Outreach and Programs (House sub-committee mark).....	16	14	6,861	-	-	-	-	-	-
Cybersecurity coordination (FY12).....	-	-	-	14	14	4,500	14	14	3,995
US Computer Response Team (US-CERT) Operations (FY12).....	-	-	-	165	150	79,116	188	177	93,002
Federal Network Security (FY12).....	-	-	-	53	42	35,000	69	69	236,014
Network Security Deployment (FY12).....	-	-	-	73	72	229,000	91	82	345,046
Global Cybersecurity Management (FY12).....	-	-	-	23	19	23,992	23	23	21,957
Critical Infrastructure Cyber Protection and Awareness (FY12).....	-	-	-	37	28	60,000	39	38	62,763
Business Operations (FY12).....	-	-	-	33	33	11,568	33	33	6,227
Office of Emergency Communications.....	52	52	43,972	62	62	43,495	65	65	38,689
<b>National Communications Systems.....</b>	<b>98</b>	<b>98</b>	<b>108,701</b>	<b>110</b>	<b>105</b>	<b>106,120</b>	<b>125</b>	<b>125</b>	<b>103,858</b>
Priority Telecommunications.....	41	41	56,170	40	40	56,074	50	50	53,286
Next generation networks.....	-	-	21,053	2	1	25,253	2	2	20,000



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	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
Programs to study and enhance telecommunications.....	28	28	16,624	28	28	13,441	33	33	19,594
Critical Infrastructure protection.....	29	29	14,854	40	36	11,352	40	40	10,978
<b>U.S. VISIT</b>	<b>413</b>	<b>399</b>	<b>333,944</b>	<b>413</b>	<b>400</b>	<b>306,802</b>	-	-	-
Base Operations.....	413	399	333,944	413	400	306,802	-	-	-
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-49,407]			[-27,576]			[0]
Net Discretionary	1,726	1,601	1,216,197	1,907	1,793	1,245,740	1,584	1,508	1,216,954
Adjusted Net Discretionary	1,726	1,601	1,166,790	1,907	1,793	1,218,164	1,584	1,508	1,216,954
Discretionary Fee Funded	1,225	1,225	1,115,000	1,371	1,279	1,285,599	1,371	1,279	1,301,824
Gross Discretionary	2,951	2,826	2,331,197	3,278	3,072	2,531,339	2,955	2,787	2,518,778
Adjusted Gross Discretionary	2,951	2,826	2,281,790	3,278	3,072	2,503,763	2,955	2,787	2,518,778
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-
Appropriated Resources:	1,726	1,601	1,216,197	1,907	1,793	1,245,740	1,584	1,508	1,216,954
Non-Appropriated Resources:	1,225	1,225	1,115,000	1,371	1,279	1,285,599	1,371	1,279	1,301,824
<b>Office of Health Affairs</b>	<b>104</b>	<b>95</b>	<b>139,455</b>	<b>108</b>	<b>99</b>	<b>167,449</b>	<b>110</b>	<b>101</b>	<b>166,458</b>
<b>Office of Health Affairs</b>	<b>104</b>	<b>95</b>	<b>139,455</b>	<b>108</b>	<b>99</b>	<b>167,449</b>	<b>110</b>	<b>101</b>	<b>166,458</b>
BioWatch.....	-	-	100,780	-	-	114,164	-	-	125,294
National Biosurveillance Integration Center.....	-	-	7,000	-	-	12,013	-	-	8,000
Rapidly Deployable Chemical Detection System.....	-	-	2,400	-	-	-	-	-	-
Planning and Coordination.....	-	-	2,276	-	-	6,162	-	-	4,907
Salaries and Expenses.....	104	95	26,999	108	99	29,671	110	101	27,757
Chemical Defense Program (FY12).....	-	-	-	-	-	5,439	-	-	500
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-831]			[-117]			
Net Discretionary	104	95	139,455	108	99	167,449	110	101	166,458
Adjusted Net Discretionary	104	95	138,623	108	99	167,332	110	101	166,458
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	104	95	139,455	108	99	167,449	110	101	166,458
Adjusted Gross Discretionary	104	95	138,623	108	99	167,332	110	101	166,458
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-
Appropriated Resources:	104	95	139,455	108	99	167,449	110	101	166,458
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-
<b>CT Fund</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Rescission of Prior Year Unobligated Balances						[-96]			
Net Discretionary	-	-	-	-	-	-	-	-	-
Adjusted Net Discretionary	-	-	-	-	-	(96)	-	-	-
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	-	-	-	-	-	-	-	-	-
Adjusted Gross Discretionary	-	-	-	-	-	(96)	-	-	-
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-
Appropriated Resources:	-	-	-	-	-	-	-	-	-
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-
<b>Federal Emergency Management Agency</b>	<b>4,687</b>	<b>10,110</b>	<b>10,446,603</b>	<b>5,503</b>	<b>10,027</b>	<b>13,923,928</b>	<b>5,503</b>	<b>10,033</b>	<b>13,559,716</b>
<b>Management and Administration (Operations, Planning, and Support):</b>	<b>3,745</b>	<b>3,822</b>	<b>786,823</b>	<b>4,497</b>	<b>4,275</b>	<b>895,350</b>	<b>3,771</b>	<b>3,580</b>	<b>789,172</b>
Operating Activities.....	3,716	3,795	744,950	-	-	-	-	-	-
Office of National Capital Region Coordination.....	21	19	6,693	-	-	-	-	-	-
Urban Search and Rescue Response System.....	8	8	35,180	-	-	-	-	-	-
Defense Function	[0]	[0]	[-93,881]	[0]	[0]	[0]	[0]	[0]	[0]
Administrative and regional offices	-	-	-	857	818	110,495	1,458	1,370	214,603
Preparedness and protection	-	-	-	638	606	109,873	128	124	73,153
Response	-	-	-	1,112	1,056	226,228	832	801	171,897
Recovery	-	-	-	612	581	78,373	420	398	55,423
Mitigation	-	-	-	183	174	43,675	76	72	27,110
Mission support	-	-	-	1,095	1,040	219,433	857	815	152,806
Centrally managed accounts	-	-	-	-	-	107,273	-	-	94,180

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	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
<b>State and Local Programs &amp; Emergency Management Perf. Grants:</b>	<b>80</b>	<b>-</b>	<b>2,225,041</b>	<b>94</b>	<b>93</b>	<b>1,349,681</b>	<b>908</b>	<b>876</b>	<b>2,900,212</b>
Targeted Infrastructure Capability Grants Program.....	80	-	753,490	-	-	-	-	-	-
UASI Regional Grants.....	80	-	723,550	-	-	-	-	-	-
Regional Catastrophic Preparedness Grants (emergency)/09 bill is non-emergency.....	-	-	14,970	-	-	-	-	-	-
Emergency Operations Centers.....	-	-	14,970	-	-	-	-	-	-
Management and Administration .....	-	-	-	-	-	-	908	876	279,304
State & Regional Preparedness Program.....	-	-	723,550	-	-	-	-	-	-
State Homeland Security Grant Program.....	-	-	578,840	-	-	-	-	-	-
Stonegarden .....	-	-	54,890	-	-	-	-	-	-
Medical Surge Grants (Metropolitan Medical Response System).....	-	-	34,930	-	-	-	-	-	-
Citizen Corps Grants.....	-	-	9,980	-	-	-	-	-	-
Real ID(Driver's License Security Grants ).....	-	-	44,910	-	-	-	-	-	-
MSA Preparedness Program.....	-	-	499,000	-	-	-	-	-	-
Port Security Grants.....	-	-	249,500	-	-	-	-	-	-
Rail/Public Transportation Security Grants.....	-	-	249,500	-	-	-	-	-	-
Training Measurement and Exercise Program.....	-	-	249,001	-	-	-	-	-	-
National Exercise Program.....	-	-	39,920	-	-	-	-	-	-
Continuing and Emerging Training Grants.....	-	-	28,942	-	-	-	-	-	-
National Domestic Preparedness Consortium.....	-	-	155,189	-	-	-	-	-	-
Technical Assistance Program.....	-	-	10,978	-	-	-	-	-	-
Evaluation and National Assessment Program.....	-	-	13,972	-	-	-	-	-	-
State and Local Programs.....	-	-	-	-	-	1,118,000	-	-	(15,754)
State and local programs (grants).....	-	-	-	-	-	1,118,000	-	-	(15,754)
Education, Training, and Exercises.....	-	-	-	94	93	231,681	-	-	15,754
Emergency Management Institute.....	-	-	-	94	93	16,181	-	-	(199,746)
Center for Domestic Preparedness.....	-	-	-	-	-	62,500	-	-	62,500
National Domestic Preparedness Consortium.....	-	-	-	-	-	93,000	-	-	93,000
National Exercises Program.....	-	-	-	-	-	34,000	-	-	34,000
Continuing training.....	-	-	-	-	-	26,000	-	-	26,000
National Preparedness Grant Program.....	-	-	-	-	-	-	-	-	1,540,908
Firefighter Assistance Grants.....	-	-	-	-	-	-	-	-	670,000
Emergency Management Performance Grants .....	-	-	-	-	-	-	-	-	350,000
Training Partnership Grants.....	-	-	-	-	-	-	-	-	60,000
<b>Emergency Management Performance Grants</b>	<b>-</b>	<b>15</b>	<b>339,320</b>	<b>15</b>	<b>15</b>	<b>350,000</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Assistance to Firefighter Grants</b>	<b>-</b>	<b>-</b>	<b>808,380</b>	<b>73</b>	<b>73</b>	<b>675,000</b>	<b>-</b>	<b>-</b>	<b>-</b>
Fire Grants (Assistance to Firefighter Grants).....	-	-	404,190	73	73	337,500	-	-	-
SAFER Act grants.....	-	-	404,190	-	-	337,500	-	-	-
<b>U.S. Fire Administration:</b>	<b>209</b>	<b>115</b>	<b>45,497</b>	<b>170</b>	<b>148</b>	<b>44,038</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
United States Fire Administration.....	209	115	45,497	170	148	44,038	170	159	42,520
Noble Training Center.....	-	-	-	-	-	-	-	-	-
<b>Radiological Emergency Preparedness:</b>	<b>170</b>	<b>158</b>	<b>(265)</b>	<b>170</b>	<b>170</b>	<b>(896)</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>
Radiological Emergency Preparedness.....	170	158	32,771	170	170	37,166	170	170	36,619
Fee Collections.....	-	-	(33,036)	-	-	(38,062)	-	-	(38,062)
<b>Disaster relief:</b>	<b>45</b>	<b>5,645</b>	<b>2,628,732</b>	<b>45</b>	<b>4,852</b>	<b>7,076,000</b>	<b>45</b>	<b>4,852</b>	<b>6,088,926</b>

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	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
<b>Disaster assistance direct loan program account:</b>	-	-	294	-	-	295	-	-	-
[Limitation on direct loans]	[0]	[0]	[0]	[0]	[0]	[0]	[0]	[0]	[0]
Direct Loan Subsidy.....	-	-	294	-	-	295	-	-	-
Administrative expenses.....	-	-	-	-	-	-	-	-	-
<b>Flood map modernization fund:</b>	<b>84</b>	<b>51</b>	<b>181,636</b>	-	-	-	-	-	-
<b>Flood Hazard mapping and Risk Analysis Program</b>				<b>85</b>	<b>80</b>	<b>97,712</b>	<b>85</b>	<b>80</b>	<b>89,329</b>
<b>National flood insurance fund (offsetting):</b>	<b>310</b>	<b>260</b>	<b>169,000</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	<b>310</b>	<b>280</b>	<b>171,000</b>
Salaries and expenses.....	108	64	22,145	92	75	22,000	92	75	22,000
Flood Hazard mitigation.....	202	196	146,855	218	205	149,000	218	205	149,000
[Transfer to National flood mitigation fund].....	-	-	-	-	-	-	-	-	-
<b>National flood insurance fund (mandatory):</b>	<b>29</b>	<b>29</b>	<b>3,085,000</b>	<b>29</b>	<b>29</b>	<b>3,102,748</b>	<b>29</b>	<b>29</b>	<b>3,380,000</b>
Fee Collections.....	-	-	3,035,000	-	-	3,042,748	-	-	3,260,000
Flood mitigation activities.....	29	29	50,000	29	29	60,000	29	29	120,000
<b>National pre-disaster mitigation fund:</b>	<b>15</b>	<b>15</b>	<b>49,900</b>	<b>15</b>	<b>12</b>	<b>35,500</b>	<b>15</b>	<b>7</b>	<b>-</b>
<b>Emergency food and shelter:</b>	<b>-</b>	<b>-</b>	<b>119,760</b>	<b>-</b>	<b>-</b>	<b>120,000</b>	<b>-</b>	<b>-</b>	<b>100,000</b>
<b>National Special Security Event State and Local Reimbursement Fund:</b>	<b>-</b>	<b>-</b>	<b>7,485</b>	<b>-</b>	<b>-</b>	<b>7,500</b>	<b>-</b>	<b>-</b>	<b>-</b>
Rescission of Prior Year Unobligated Balances	[0]	[0]	-[30,986]			-[4,016]			
Net Discretionary	4,348	9,821	7,192,603	5,164	9,718	10,650,180	5,164	9,724	10,008,716
Adjusted Net Discretionary	4,348	9,821	7,161,617	5,164	9,718	10,646,164	5,164	9,724	10,008,716
Discretionary Fee Funded	310	260	169,000	310	280	171,000	310	280	171,000
Gross Discretionary	4,658	10,081	7,361,603	5,474	9,998	10,821,180	5,474	10,004	10,179,716
Adjusted Gross Discretionary	4,658	10,081	7,330,617	5,474	9,998	10,817,164	5,474	10,004	10,179,716
Mandatory, Fees, Trust Funds	29	29	3,085,000	29	29	3,102,748	29	29	3,380,000
Appropriated Resources:	4,348	9,821	7,192,603	5,164	9,718	10,650,180	5,164	9,724	10,008,716
Non-Appropriated Resources:	339	289	3,254,000	339	309	3,273,748	339	309	3,551,000
<b>Total, Title III, Preparedness:</b>	<b>6,178</b>	<b>11,517</b>	<b>8,548,254</b>	<b>7,179</b>	<b>11,610</b>	<b>12,063,369</b>	<b>6,858</b>	<b>11,333</b>	<b>11,392,128</b>
<b>TITLE IV - RESEARCH &amp; DEVELOPMENT, TRAINING, &amp; SERVICES</b>									
<b>Citizenship &amp; Immigration Services</b>	<b>11,161</b>	<b>11,425</b>	<b>2,983,422</b>	<b>12,268</b>	<b>10,500</b>	<b>3,078,465</b>	<b>12,299</b>	<b>10,700</b>	<b>3,005,383</b>
<b>Salaries and Expenses:</b>	<b>618</b>	<b>618</b>	<b>152,543</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>613</b>	<b>598</b>	<b>142,974</b>
Business Transformation.....	-	-	-	-	-	-	-	-	-
Pay and benefits.....	-	-	-	-	-	-	-	-	-
SAVE.....	-	-	-	-	-	-	186	186	20,048
E-Verify [EEV].....	388	388	103,193	388	380	102,424	419	404	111,924
Real ID Act Implementation (Sec. 547 in FY 2009; Regular Approp in FY 2010).....	2	2	-	2	2	-	2	2	-
FBI Background Check.....	-	-	-	-	-	-	-	-	-
Benefit Parole Program.....	-	-	-	-	-	-	-	-	-
Asylum and Refugee Services.....	222	222	29,950	-	-	-	-	-	-
Military Naturalization Services.....	-	-	-	-	-	-	-	-	-
Immigration Integration.....	6	6	11,000	-	-	-	6	6	11,002
Data Center Development.....	-	-	8,400	-	-	-	-	-	-
Immigration service programs (House Mark = Citizenship Education Grants).....	-	-	-	-	-	-	-	-	-
<b>Immigration Examinations Fee Account:</b>	<b>10,357</b>	<b>10,621</b>	<b>2,778,721</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>
Adjudication Services.....	8,942	9,206	2,282,440	10,186	8,611	2,423,351	10,180	8,773	2,343,514
Pay and benefits.....	-	-	-	-	-	-	-	-	-
District Operations.....	5,951	5,951	1,183,747	6,372	5,418	1,290,546	6,366	5,484	1,283,771
Service Center Operations.....	2,379	2,379	496,749	2,584	2,223	506,300	2,584	2,228	507,479
Asylum, Refugee and International Operations.....	290	554	157,280	860	667	195,819	860	742	196,274





**Department of Homeland Security  
Total Budget Authority**

	FY 2011 Enacted			FY 2012 Enacted			FY 2013 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
<b>Science &amp; Technology</b>	447	450	827,578	491	491	668,000	491	491	831,472
<b>Management and administration:</b>	317	320	140,918	361	361	135,000	361	361	138,008
Salaries and Benefits.....	317	320	140,918	361	361	135,000	361	361	138,008
<b>Research, development, acquisition, and operations:</b>	130	130	686,660	130	130	533,000	130	130	693,464
Borders and Maritime.....	-	-	32,167	-	-	-	-	-	-
Chemical and Biological.....	-	-	166,577	-	-	-	-	-	-
Command, Control and Interoperability.....	-	-	68,593	-	-	-	-	-	-
Explosives.....	-	-	111,813	-	-	-	-	-	-
Human Factors.....	-	-	11,458	-	-	-	-	-	-
Infrastructure and Geophysical.....	-	-	25,056	-	-	-	-	-	-
Innovation.....	-	-	31,330	-	-	-	-	-	-
Laboratory Facilities.....	130	130	140,000	130	130	176,500	130	130	127,432
Transition.....	-	-	18,130	-	-	-	-	-	-
Radiological and Nuclear.....	-	-	41,645	-	-	-	-	-	-
Acquisition and Operations Support.....	-	-	-	-	-	54,154	-	-	47,984
University Programs.....	-	-	-	-	-	36,563	-	-	40,000
Research, development, and innovation (FY12).....	-	-	39,890	-	-	265,783	-	-	478,048
Rescission of Prior Year Unobligated Balances	[0]	[0]	-[61,025]			-[279]			
Net Discretionary	447	450	827,578	491	491	668,000	491	491	831,472
Adjusted Net Discretionary	447	450	766,552	491	491	667,721	491	491	831,472
Discretionary Fee Funded	-	-	-	-	-	-	-	-	-
Gross Discretionary	447	450	827,578	491	491	668,000	491	491	831,472
Adjusted Gross Discretionary	447	450	766,552	491	491	667,721	491	491	831,472
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-
Appropriated Resources:	447	450	827,578	491	491	668,000	491	491	831,472
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-
<b>Domestic Nuclear Detection Office</b>	130	130	341,744	130	130	290,000	130	130	327,977
<b>Management and Administration:</b>	130	130	36,918	130	130	38,000	130	130	39,692
<b>Research, Development, and Operations:</b>	-	-	274,886	-	-	215,000	-	-	236,830
Systems Engineering and architecture.....	-	-	33,195	-	-	30,000	-	-	30,091
Systems development.....	-	-	52,851	-	-	51,000	-	-	28,401
Transformational research and development.....	-	-	96,326	-	-	40,000	-	-	83,897
Assessments.....	-	-	38,139	-	-	38,000	-	-	33,198
Operations support.....	-	-	32,756	-	-	33,000	-	-	35,679
National Technical Nuclear Forensics Center.....	-	-	21,619	-	-	23,000	-	-	25,564

**Department of Homeland Security  
Total Budget Authority**

	FY 2011 Enacted			FY 2012 Enacted			FY 2013 President's Budget		
	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$	Pos.	FTE	\$\$\$
<b>Systems Acquisition:</b>	-	-	29,940	-	-	37,000	-	-	51,455
Radiation Portal Monitor Program.....	-	-	-	-	-	7,000	-	-	1,355
Securing the Cities.....	-	-	19,940	-	-	22,000	-	-	22,000
Human Portal Radiation Detection Systems Program.....	-	-	10,000	-	-	8,000	-	-	28,100
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-10,928]			[-1,073]			
Net Discretionary	130	130	341,744	130	130	290,000	130	130	327,977
Adjusted Net Discretionary	130	130	330,816	130	130	288,927	130	130	327,977
Discretionary Offsets	-	-	-	-	-	-	-	-	-
Gross Discretionary	130	130	341,744	130	130	290,000	130	130	327,977
Adjusted Gross Discretionary	130	130	330,816	130	130	288,927	130	130	327,977
Mandatory, Fees, Trust Funds	-	-	-	-	-	-	-	-	-
Appropriated Resources:	130	130	341,744	130	130	290,000	130	130	327,977
Non-Appropriated Resources:	-	-	-	-	-	-	-	-	-
<b>Total, Title IV, Research and Development, Training Assessments, and Services:.....</b>	<b>2,325</b>	<b>2,301</b>	<b>1,592,697</b>	<b>2,141</b>	<b>2,106</b>	<b>1,331,837</b>	<b>2,364</b>	<b>2,322</b>	<b>1,560,747</b>
<b>DEPARTMENT OF HOMELAND SECURITY</b>	<b>222,626</b>	<b>220,619</b>	<b>55,331,462</b>	<b>229,983</b>	<b>223,675</b>	<b>59,914,091</b>	<b>228,989</b>	<b>224,989</b>	<b>59,032,346</b>
Rescission of Prior Year Unobligated Balances	[0]	[0]	[-524,185]			(200,736)	[0]	[0]	[0]
Net Discretionary	201,105	200,915	42,206,179	208,771	204,535	46,248,145	207,967	205,885	44,942,110
Adjusted Net Discretionary	201,105	200,915	41,681,994	208,771	204,535	46,047,409	207,967	205,885	44,942,110
Discretionary Fee Funded	1,582	1,531	3,442,780	1,728	1,605	3,547,405	1,730	1,605	3,756,720
Gross Discretionary	202,687	202,446	45,648,959	210,499	206,140	49,795,550	209,697	207,490	48,698,830
Adjusted Gross Discretionary	202,687	202,446	45,124,774	210,499	206,140	49,600,015	209,697	207,490	48,698,830
Mandatory, Fees, Trust Funds	19,939	18,173	9,682,503	19,484	17,535	10,118,541	19,292	17,499	10,333,516
Appropriated Resources:	201,035	200,846	43,598,715	208,701	204,466	47,680,135	207,897	205,816	46,364,734
Non-Appropriated Resources:	21,591	19,773	11,732,747	21,282	19,209	12,233,956	21,092	19,173	12,667,612

**U.S. Department of Homeland Security**  
**Title V – Fiscal Year 2013 Explanation of Changes – General Provisions**

**Proposal to Delete *Old* Section 512**

**[Sec. 512. None of the funds made available in this Act may be used by any person other than the Privacy Officer appointed under subsection (a) of section 222 of the Homeland Security Act of 2002 (6 U.S.C. 142(a)) to alter, direct that changes be made to, delay, or prohibit the transmission to Congress of any report prepared under paragraph (6) of such subsection.]**

Explanation: The Department proposes deletion of this provision as it is restrictive in nature and infringes upon the Department's ability to manage administrative functions and to carry out its requirements for providing homeland security.

**Proposal to Delete *Old* Section 516**

**[Sec. 516. Except as provided in section 44945 of title 49, United States Code, funds appropriated or transferred to Transportation Security Administration ``Aviation Security'', ``Administration'', and ``Transportation Security Support'' for fiscal years 2004 and 2005 that are recovered or deobligated shall be available only for the procurement or installation of explosives detection systems, air cargo, baggage, and checkpoint screening systems, subject to notification: Provided, That quarterly reports shall be submitted to the Committees on Appropriations of the Senate and the House of Representatives on any funds that are recovered or deobligated.]**

Explanation: The Department proposes deletion of this provision as referenced funds are no longer recovered or deobligated.

**Proposal to Delete *Old* Section 521**

**[Sec. 521. None of the funds provided by this or previous appropriations Acts shall be used to fund any position designated as a Principal Federal Official (or the successor thereto) for any Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.) declared disasters or emergencies unless -- (1) The responsibilities of the Principal Federal Official do not include operational functions related to incident management, including coordination of operations, and are consistent with the requirements of subsection 509(c) and subsections 503(c)(3) and (c)(4)(A) of the Homeland Security Act of 2002 (6 U.S.C. 319(c) and 313(c)(3) and (c)(4)(A)) and section 302 of the Robert T. Stafford Disaster Relief and Assistance Act (42 U.S.C. 5143); (2) Not later than 10 business days after the latter of the date on which the Secretary of Homeland Security appoints the Principal Federal Official and the date on which the President issues a declaration under section 401 or section 501 of the Robert T. Stafford Disaster Relief and Emergency**

**Assistance Act (42 U.S.C. 5170 and 5191, respectively), the Secretary of Homeland Security shall submit a notification of the appointment of the Principal Federal Official and a description of the responsibilities of such Official and how such responsibilities are consistent with paragraph (1) to the Committees on Appropriations of the Senate and the House of Representatives, the Transportation and Infrastructure Committee of the House of Representatives, and the Homeland Security and Governmental Affairs Committee of the Senate; and (3) Not later than 60 days after the date of enactment of this Act, the Secretary shall provide a report specifying timeframes and milestones regarding the update of operations, planning and policy documents, and training and exercise protocols, to ensure consistency with paragraph (1) of this section.]**

Explanation: The Department proposes deletion of this restrictive provision in part because the Secretary is the Principal Federal Official and does not intend to appoint other individuals to this position.

#### **Proposal to Delete *Old* Section 522**

**[Sec. 522. None of the funds made available in this or any other Act for fiscal years 2012 and thereafter may be used to enforce section 4025(1) of Public Law 108-458 unless the Administrator of the Transportation Security Administration reverses the determination of July 19, 2007, that butane lighters are not a significant threat to civil aviation security.]**

Explanation: The Department proposes deletion of this provision as it is unnecessary and restricts the Department's flexibility to carry out requirements and implement policies for protecting the Homeland.

#### **Proposal to Delete *Old* Section 523**

**[Sec. 523. None of the funds provided or otherwise made available in this Act shall be available to carry out section 872 of the Homeland Security Act of 2002 (6 U.S.C. 452).]**

Explanation: The Department requests deletion of this restrictive provision to enable the Department to have the flexibility to carry out its operational and mission requirements.

#### **Proposal to Delete *Old* Section 524**

**[Sec. 524. Funds made available in this Act may be used to alter operations within the Civil Engineering Program of the Coast Guard nationwide, including civil engineering units, facilities design and construction centers, maintenance and logistics commands, and the Coast Guard Academy, except that none of the funds provided in this Act may be used to reduce operations within any Civil Engineering Unit unless specifically authorized by a statute enacted after the date of enactment of this Act.]**



Explanation: The Department requests deletion of this provision as it restricts the Department's ability to use and manage appropriated resources as may be required for protecting the Homeland.

#### **Proposal to Delete *Old* Section 529**

**[Sec. 529. Notwithstanding any other provision of law, none of the funds provided in this or any other Act shall be used to approve a waiver of the navigation and vessel-inspection laws pursuant to 46 U.S.C. 501(b) for the transportation of crude oil distributed from the Strategic Petroleum Reserve until the Secretary of Homeland Security, after consultation with the Secretaries of the Departments of Energy and Transportation and representatives from the United States flag maritime industry, takes adequate measures to ensure the use of United States flag vessels: Provided, That the Secretary shall notify the Committees on Appropriations of the Senate and the House of Representatives, the Committee on Commerce, Science, and Transportation of the Senate, and the Committee on Transportation and Infrastructure of the House of Representatives within 48 hours of any request for waivers of navigation and vessel-inspection laws pursuant to 46 U.S.C. 501(b).]**

Explanation: The Department requests deletion of this provision as unnecessary, unduly restrictive and onerous.

#### **Proposal to Delete *Old* Section 531**

**[Sec. 531. None of the funds in this Act shall be used to reduce the United States Coast Guard's Operations Systems Center mission or its government-employed or contract staff levels.]**

Explanation: The Department proposes deletion of this provision as it restricts the Department's ability to use and manage appropriated resources.

#### **Proposal to Delete *Old* Section 533**

**[Sec. 533. None of the funds appropriated by this Act may be used to conduct, or to implement the results of, a competition under Office of Management and Budget Circular A-76 for activities performed with respect to the Coast Guard National Vessel Documentation Center.]**

Explanation: The Department requests deletion of this provision as it restricts the Department's ability to use and manage appropriated resources.

#### **Proposal to Delete *Old* Section 536**

**[Sec. 536. If the Administrator of the Transportation Security Administration determines that an airport does not need to participate in the E-Verify Program as described in section 403(a) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1324a note), the Administrator shall certify to the Committees on Appropriations of the Senate and the House of Representatives that no security risks will result from such non-participation.]**

Explanation: The Department requests deletion of this provision as it is unnecessary and burdensome.

#### **Proposal to Delete *Old* Section 537**

**[Sec. 537. (a) Notwithstanding any other provision of this Act, except as provided in subsection (b), and 30 days after the date on which the President determines whether to declare a major disaster because of an event and any appeal is completed, the Administrator shall publish on the Web site of the Federal Emergency Management Agency a report regarding that decision that shall summarize damage assessment information used to determine whether to declare a major disaster. (b) The Administrator may redact from a report under subsection (a) any data that the Administrator determines would compromise national security. (c) In this section -- (1) the term ``Administrator'' means the Administrator of the Federal Emergency Management Agency; and (2) the term ``major disaster'' has the meaning given that term in section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122).]**

Explanation: The Department proposes deletion of this provision because posting of the referenced information is now standard operating procedure therefore the provision is redundant.

#### **Proposal to Delete *Old* Section 538**

**[Sec. 538. (a) Notwithstanding any other provision of law during fiscal year 2012 or any subsequent fiscal year, if the Secretary of Homeland Security determines that the National Bio- and Agro-defense Facility should be located at a site other than Plum Island, New York, the Secretary shall ensure that the Administrator of General Services sells through public sale all real and related personal property and transportation assets which support Plum Island operations, subject to such terms and conditions as may be necessary to protect Government interests and meet program requirements. (b) The proceeds of such sale described in subsection (a) shall be deposited as offsetting collections into the Department of Homeland Security Science and Technology ``Research, Development, Acquisition, and Operations'' account and, subject to appropriation, shall be available until expended, for site acquisition, construction, and costs related to the construction of the National Bio- and Agro-defense Facility, including the costs associated with the sale, including due diligence requirements, necessary environmental remediation at Plum Island, and reimbursement of expenses incurred by the General Services Administration.]**

Explanation: The Department requests deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 539**

**[Sec. 539. Any official that is required by this Act to report or to certify to the Committees on Appropriations of the Senate and the House of Representatives may not delegate such authority to perform that act unless specifically authorized herein.]**

Explanation: The Department proposes deletion of this provision as unnecessary, unduly restrictive and onerous, and contributes to delays in the Department's reporting to Congress.

#### **Proposal to Delete *Old* Section 541**

**[Sec. 541. None of the funds appropriated or otherwise made available in this or any other Act may be used to transfer, release, or assist in the transfer or release to or within the United States, its territories, or possessions Khalid Sheikh Mohammed or any other detainee who -- (1) is not a United States citizen or a member of the Armed Forces of the United States; and (2) is or was held on or after June 24, 2009, at the United States Naval Station, Guantanamo Bay, Cuba, by the Department of Defense.]**

Explanation: The Administration requests deletion of this provision which infringes upon the President's prerogative and executive authority on national security matters.

#### **Proposal to Delete *Old* Section 544**

**[Sec. 544. None of the funds made available in this Act may be used to employ workers described in section 274A(h)(3) of the Immigration and Nationality Act (8 U.S.C. 1324a(h)(3)).]**

Explanation: The Department proposes deletion of this provision as it is restrictive in nature.

#### **Proposal to Delete *Old* Section 546**

**[Sec. 546. For fiscal year 2012 and thereafter, for purposes of section 210C of the Homeland Security Act of 2002 (6 U.S.C. 124j), a rural area shall also include any area that is located in a metropolitan statistical area and a county, borough, parish, or area under the jurisdiction of an Indian tribe with a population of not more than 50,000.]**

Explanation: The Department requests deletion of this provision because it is a onetime, permanent directive.

### **Proposal to Delete *Old* Section 548**

**[Sec. 548. (a) Not later than 180 days after the date of enactment of this Act, the Administrator of the Transportation Security Administration shall submit to the Committees on Appropriations of the Senate and the House of Representatives, a report that either -- (1) certifies that the requirement for screening all air cargo on passenger aircraft by the deadline under section 44901(g) of title 49, United States Code, has been met; or (2) includes a strategy to comply with the requirements under title 44901(g) of title 49, United States Code, including -- (A) a plan to meet the requirement under section 44901(g) of title 49, United States Code, to screen 100 percent of air cargo transported on passenger aircraft arriving in the United States in foreign air transportation (as that term is defined in section 40102 of that title); and (B) specification of -- (i) the percentage of such air cargo that is being screened; and (ii) the schedule for achieving screening of 100 percent of such air cargo. (b) The Administrator shall continue to submit reports described in subsection (a)(2) every 180 days thereafter until the Administrator certifies that the Transportation Security Administration has achieved screening of 100 percent of such air cargo.]**

Explanation: The Department requests deletion of this provision because its requirements are permanent until fully complied with.

### **Proposal to Delete *Old* Section 549**

**[Sec. 549. In developing any process to screen aviation passengers and crews for transportation or national security purposes, the Secretary of Homeland Security shall ensure that all such processes take into consideration such passengers' and crews' privacy and civil liberties consistent with applicable laws, regulations, and guidance.]**

Explanation: The Department proposes deletion of this provision because it is a onetime directive which has been complied with on a permanent basis.

### **Proposal to Delete *Old* Section 550**

**[Sec. 550. (a) None of the funds made available in this Act may be obligated for construction of the National Bio- and Agro-defense Facility until the Department of Homeland Security -- (1) completes 50 percent of design planning for the National Bio- and Agro-defense Facility; (2) submits to the Committees on Appropriations of the Senate and the House of Representatives a revised site-specific biosafety and biosecurity mitigation risk assessment that describes how to significantly reduce risks of conducting essential research and diagnostic testing at the National Bio- and Agro-defense Facility and addresses shortcomings identified in the National Academy of Sciences' evaluation of the initial site-specific biosafety and biosecurity mitigation risk assessment; and (3) submits to the Committees on Appropriations of the Senate and the House of Representatives the**

results of the National Academy of Sciences' review of the risk assessment as described in subsection (c). (b) The revised site-specific biosafety and biosecurity mitigation risk assessment required by subsection (a) shall -- (1) include a quantitative risk assessment for foot-and-mouth disease virus, in particular epidemiological and economic impact modeling to determine the overall risk of operating the facility for its expected 50-year life span, taking into account strategies to mitigate risk of foot-and-mouth disease virus release from the laboratory and ensure safe operations at the approved National Bio- and Agro-defense Facility site; (2) address the impact of surveillance, response, and mitigation plans (developed in consultation with local, State, and Federal authorities and appropriate stakeholders) if a release occurs, to detect and control the spread of disease; and (3) include overall risks of the most dangerous pathogens the Department of Homeland Security expects to hold in the National Bio- and Agro-defense Facility's biosafety level 4 facility, and effectiveness of mitigation strategies to reduce those risks. (c) The Department of Homeland Security shall enter into a contract with the National Academy of Sciences to evaluate the adequacy and validity of the risk assessment required by subsection (a). The National Academy of Sciences shall submit a report on such evaluation within four months after the date the Department of Homeland Security concludes its risk assessment.]

Explanation: The Department proposes deletion of this provision as it is restrictive in nature and infringes upon the Department's ability to manage resources and to carry out its mission and operational requirements.

#### **Proposal to Delete *Old* Section 551**

[Sec. 551. (a) Notwithstanding section 1356(n) of title 8, United States Code, of the funds deposited into the Immigration Examinations Fee Account, \$10,000,000 shall be available to United States Citizenship and Immigration Services in fiscal year 2012 for the purpose of providing an immigrant integration grants program. (b) None of the funds made available to United States Citizenship and Immigration Services for grants for immigrant integration may be used to provide services to aliens who have not been lawfully admitted for permanent residence.]

Explanation: The Department requests deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 552**

[Sec. 552. For an additional amount for necessary expenses for reimbursement of the actual costs to State and local governments for providing emergency management, public safety, and security at events, as determined by the Administrator of the Federal Emergency Management Agency, related to the presence of a National Special Security Event, \$7,500,000, to remain available until September 30, 2013.]



Explanation: The Department requests deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 556**

**[Sec. 556. (a) For an additional amount for data center migration, \$70,000,000. (b) Funds made available in subsection (a) for data center migration may be transferred by the Secretary of Homeland Security between appropriations for the same purpose, notwithstanding section 503 of this Act. (c) No transfer described in subsection (b) shall occur until 15 days after the Committees on Appropriations of the Senate and the House of Representatives are notified of such transfer.]**

Explanation: The Department proposes deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 558**

**[Sec. 558. Section 559(e) of Public Law 111-83 is amended -- (a) in the matter preceding the first proviso, by striking "law, sell" and inserting "law, hereafter sell"; and (b) in the first proviso -- (1) by striking "shall be deposited" and inserting "shall hereafter be deposited"; and (2) by striking "subject to appropriation," and inserting "without further appropriations,".]**

Explanation: The Department requests deletion of this provision because it is a permanent change to the U.S. Code.

#### **Proposal to Delete *Old* Section 560**

**[Sec. 560. For an additional amount for the "Office of the Under Secretary for Management", \$55,979,000, to remain available until expended, for necessary expenses to plan, acquire, construct, renovate, remediate, equip, furnish, and occupy buildings and facilities for the consolidation of department headquarters at St. Elizabeths and associated mission support consolidation: Provided, That the Committees on Appropriations of the Senate and the House of Representatives shall receive an expenditure plan not later than 90 days after the date of enactment of this Act detailing the allocation of these funds.]**

Explanation: The Department proposes deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 561**

**[Sec. 561. None of the funds made available by this Act may be used to enforce the requirements in -- (1) section 34(a)(1)(A) of the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2229(a)(1)(A)); (2) section 34(a)(1)(B) of such Act; (3) section 34(c)(1) of such Act; (4) section 34(c)(2) of such Act; (5) section 34(c)(4)(A) of such Act; and (6) section 34(a)(1)(E) of such Act.]**

Explanation: The Department requests deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 562**

**[Sec. 562. Notwithstanding the requirement under section 34(a)(1)(A) of the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2229a(a)(1)(A)) that grants must be used to increase the number of firefighters in fire departments, the Secretary of Homeland Security, in making grants under section 34 of such Act using the funds appropriated for fiscal year 2011, shall grant waivers from the requirements of subsections (a)(1)(B), (c)(1), (c)(2), and (c)(4)(A) of such section: Provided, That section 34(a)(1)(E) of such Act shall not apply with respect to funds appropriated for fiscal year 2011 for grants under section 34 of such Act: Provided further, That the Secretary of Homeland Security, in making grants under section 34 of such Act, shall ensure that funds appropriated for fiscal year 2011 are made available for the hiring, rehiring, or retention of firefighters.]**

Explanation: The Department proposes deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 563**

**[Sec. 563. For fiscal year 2012 and thereafter, notwithstanding section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)) and 31 U.S.C. 3302, in the event that a spill of national significance occurs, any payment of amounts from the Oil Spill Liability Trust Fund pursuant to section 1012(a)(1) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(1)) for the removal costs incurred by the Coast Guard for such spill, shall be credited directly to the accounts of the Coast Guard current at the time such removal costs were incurred or when reimbursement is received: Provided, That such amounts shall be merged with and, without further appropriations, made available for the same time period and the same purpose as the appropriation to which it is credited.]**

Explanation: The Department requests deletion of this provision because it is a permanent change to the U.S. Code.

#### **Proposal to Delete *Old* Section 564**

**[Sec. 564. (a) Civil Penalties for Circumventing Security Screening.--Section 46301(a)(5)(A)(i) of title 49, United States Code, is amended -- (1) by striking "or chapter 449" and inserting "chapter 449"; and (2) by inserting ", or section 46314(a)" after "44909)". (b) Criminal Penalties for Circumventing Security Screening. -- Section 46314(b)(2) of title 49, United States Code, is amended by inserting "with intent to evade security procedures or restrictions or" after "of this section". (c) Notice of Penalties. -- Section 46314 of title 49, United States Code, is amended by adding at the end the following new subsection: "(c)Notice of Penalties. -- (1)In general. -- Each operator of an airport in the United States that is required to establish an air transportation security program pursuant to section 44903(c) shall ensure that signs that meet such requirements as the Secretary of Homeland Security may prescribe providing notice of the penalties imposed under section 46301(a)(5)(A)(i) and subsection (b) of this section are displayed near all screening locations, all locations where passengers exit the sterile area, and such other locations at the airport as the Secretary of Homeland Security determines appropriate. (2) Effect of signs on penalties. -- An individual shall be subject to a penalty imposed under section 46301(a)(5)(A)(i) or subsection (b) of this section without regard to whether signs are displayed at an airport as required by paragraph (1)."]**

Explanation: The Department requests deletion of this provision because it is a permanent change to the U.S. Code.

### **Proposal to Delete *Old* Section 565**

**[Sec. 565. (a) Short Title.--This section may be cited as the "Disaster Assistance Recoupment Fairness Act of 2011". (b) Debts Since 2005. -- (1) Definition. -- In this section, the term "covered assistance" means assistance provided -- (A) under section 408 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5174); and (B) in relation to a major disaster declared by the President under section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170) during the period beginning on August 28, 2005, and ending on December 31, 2010. (2) Waiver authority. -- The Administrator of the Federal Emergency Management Agency -- (A) subject to subparagraph (B) and paragraph (3), may waive a debt owed to the United States related to covered assistance provided to an individual or household if -- (i) the covered assistance was distributed based on an error by the Federal Emergency Management Agency; (ii) there was no fault on behalf of the debtor; and (iii) the collection of the debt would be against equity and good conscience; and (B) may not waive a debt under subparagraph (A) if the debt involves fraud, the presentation of a false claim, or misrepresentation by the debtor or any party having an interest in the claim. (3) Presumption of repayment. -- In determining whether to waive a debt under paragraph (2), the Administrator of the Federal Emergency Management Agency shall presume that, if the adjusted gross income (as defined under section 62 of the Internal Revenue Code of 1986) of the household of the debtor for the last taxable year ending in or with the calendar year preceding the date on which the income is determined exceeds \$90,000, the debtor should be required to make at least a partial payment on the debt. (4) Reporting. -- Not later than 3 months after the date of enactment of this Act, and every 3 months thereafter until the date that is 18 months**

**after the date of enactment of this Act, the Inspector General of the Department of Homeland Security shall submit a report that assesses the cost-effectiveness of the efforts of the Federal Emergency Management Agency to recoup improper payments under the Individuals and Household Program under section 408 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5174) to -- (A) the Committee on Homeland Security and Governmental Affairs and the Subcommittee on Homeland Security of the Committee on Appropriations of the Senate; and (B) the Committee on Homeland Security, the Committee on Transportation and Infrastructure, and the Subcommittee on Homeland Security of the Committee on Appropriations of the House of Representatives.]**

Explanation: The Department proposes deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 566**

**[Sec. 566. (a) Notwithstanding section 312 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act and subject to subsection (b), recipients of Small Business Administration Disaster loans for disaster-related damage to their homes may be eligible for reimbursement at the discretion of the state, under Section 404 of that Act, for documented and eligible mitigation work performed on their home. (b) Limitations. -- (1) Any reimbursement provided to or on behalf of a homeowner pursuant to subsection (a) shall not exceed the amount of the disaster loan that may be used and was used for disaster mitigation activities; and (2) Subsection (a) shall only apply if the disaster loan and assistance provided under section 404 were made available in response to the same disaster declaration. (3) Shall be applicable only to disasters declared by the President under section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170) during the period beginning on August 28, 2005 and ending on August 28, 2006. (c) If a state chooses to use funds under section 404 to reimburse homeowners as provided in subsection (a), it shall make payments in the following order: (1) First, to the Small Business Administration on behalf of the eligible homeowner for the purpose of reducing, but not below zero, the homeowner's outstanding debt obligation to the Small Business Administration for the disaster loan; and (2) Second, any remaining reimbursement shall be paid directly to the homeowner.]**

Explanation: The Department requests deletion of this provision because it is a onetime directive.

#### **Proposal to Delete *Old* Section 567**

**[Sec. 567. None of the funds made available under this Act or any prior appropriations Act may be provided to the Association of Community Organizations for Reform Now (ACORN), or any of its affiliates, subsidiaries, or allied organizations.]**

Explanation: The Department proposes deletion of this provision because it is a onetime directive.

### **Proposal to Insert New Section 539**

*Sec. 539. Section 401(b) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, as amended (8 U.S.C. 1324a note), is amended by striking "September 30, 2012" and inserting "September 30, 2013".*

Explanation: The Department requests insertion of this provision as a routine extension of authority.

### **Proposal to Insert New Section 540**

*Sec. 540. Predisaster Hazard Mitigation - Section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5133) is amended by -- (1) Re-designating subparagraph (m) as (o); (2) Re-designating subparagraph (n) as (p); and (3) inserting the following new subparagraphs after subparagraph (l): "(m) Notwithstanding any other applicable limitations in prior or future fiscal year appropriations, the Administrator may make grant awards at his discretion under this section with funding otherwise defined as congressionally directed spending under this section in any prior fiscal year, if either: (A) the intended applicant for such earmarked funding informs FEMA in writing that no application will be submitted to use the funding; or (B) no application for such earmarked funding is submitted to FEMA within two years of the date of the respective appropriation for such funds (n) Notwithstanding any other applicable limitations in prior or future fiscal year appropriations, the National Pre-disaster Mitigation Fund shall be made available to FEMA for necessary and reasonable costs to administer and/or close out Pre-Disaster Mitigation grants."*

Explanation: The Department requests insertion of this provision to provide greater flexibility in carrying out its requirements and in the use of appropriated resources to help ensure national resiliency.

### **Proposal to Insert New Section 541**

*Sec. 541. DAM SAFETY ACT. The National Dam Safety Program Act, as amended (33 U.S.C. 467 note) is amended - (1) In section 8(e) (33 U.S.C. 467f) by inserting after paragraph (6) the following new paragraphs: "(7) PERFORMANCE-BASED EVALUATION-FEMA shall establish performance measures for its assessment of State programs participating in the National Dam Safety Program. FEMA shall assess State performance under this section using these measures. FEMA shall establish targets for the States for the performance measures within 120 days of the enactment of this Act and may update them, as needed, each fiscal year."(8) ALLOCATION- IN GENERAL.-Subject to subparagraphs (C) and (D), for each fiscal year, amounts made available under this subsection to carry out section 8 shall be allocated*



*among the states as follows: (A) "One-third of the funds shall be awarded among states that qualify as eligible for assistance under this section. (B) "Two-thirds of the funds shall be awarded among states that not only qualify as eligible for assistance under this section, but also meet or exceed their target established for the performance measures referred to in section 8(e)(7). (C) "MAXIMUM AMOUNT OF ALLOCATION.-The amount of funds allocated to a State under this paragraph may not exceed the funds committed by the State to implement dam safety activities. (D) "DETERMINATION.-The Administrator shall determine the amount allocated to States." (2) By redesignating sections 11 through 13, as sections 12 through 14, respectively, and by inserting after section 10, the following new section: **Sec.11. PUBLIC AWARENESS AND OUTREACH FOR DAM SAFETY.** The Administrator, in consultation with other Federal agencies, State, and local governments, dam owners, the emergency management community, the private sector, non-governmental organizations and associations, and universities and academia, and others as appropriate, shall carry out a nationwide public awareness and outreach program to provide risk information to the public related to the hazards of dam failures and related matters." (3) In section 14, as redesignated by this Act, (33 U.S.C. 467j) by - (A) striking subsection (a) and inserting (a) "APPROPRIATIONS - "There is authorized to be appropriated to FEMA to carry out the National Dam Safety Program Act (in addition to any amounts made available for similar purposes included in any other Act) \$14.8 million for fiscal year 2013, \$15.2 million for fiscal year 2014, \$15.7 million for fiscal year 2015, \$16.2 million for fiscal year 2016."; (B) striking subsections (c), (d) and (e); and (C) redesignating subsection (f) as subsection (c).*

Explanation: The Department requests insertion of this provision to provide for a nationwide public awareness and outreach program to provide risk information to Americans living and working downstream of high-hazard and significant-hazard potential dams. The information will assist emergency action planning and mitigate risk to the public from dam incidents and dam failures.

### **Proposal to Insert New Section 542**

*Sec. 542. All fees collected pursuant to the amendment made by section 601 of the United States-Colombia Trade Promotion Agreement Implementation Act of 2011 (P.L. 112-042) shall hereafter be available to reimburse directly each appropriation for the amount paid out of that appropriation for the costs incurred by the Secretary of the Treasury pursuant to section 13031(f)(3) of the Consolidated Omnibus Budget Reconciliation Act of 1985 (19 U.S.C. 58c(f)(3)).*

Explanation: The Department requests insertion of this provision to provide greater flexibility in carrying out its requirements and in the use of appropriated resources to meet frontline mission needs.

### **Proposal to Insert New Section 543**

*Sec. 543. (a) Notwithstanding section 58c(e) of title 19, United States Code, upon the request of any persons, the Commissioner of U.S. Customs and Border Protection (CBP) may enter into reimbursable fee agreements with such persons for the provision of CBP services and any other costs incurred by CBP relating to such services. (b) Funds collected pursuant to this section shall be deposited in the "U.S. Customs and Border Protection -- Salaries and Expenses" account as offsetting collections and remain available until expended, without fiscal year limitation, and shall be used to pay for any expenses incurred by CBP in providing CBP services and any other costs incurred by CBP relating to such services. (c) The amount of the fee to be charged pursuant to an agreement authorized under subsection (a) of this section shall be paid by each person requesting CBP services and shall include, but shall not be limited to, the salary and expenses of individuals employed by CBP to provide such CBP services and other costs incurred by CBP relating to those services, such as temporary placement or permanent relocation of those individuals. (d) Failure to pay fee. Any person who, after notice and demand for payment of any fee charged under subsection (a) of this section, fails to pay such fee in a timely manner shall -- (1) be guilty of a misdemeanor, and if convicted thereof shall pay a fine that does not exceed an amount equal to 200 percent of such fee; and (2) be liable for a penalty or liquidated damage equal to two times the amount of the fee. Any amount collected pursuant to this subsection shall be deposited into the account specified under subsection (b) of this section and shall be available as described therein. (e) Provision of Facilities and Equipment. Each facility at which such CBP services are performed shall provide, maintain, and equip, without cost to the Government, facilities in accordance with CBP specifications. (f) Definitions. For purposes of this section the terms: (1) "U.S. Customs and Border Protection services" means any activities of any employee or contractor of CBP related to customs and immigration matters. (2) "Person" means any natural person or any corporation, partnership, trust, association, or any other public or private entity, including any foreign government or transit authority, or any officer, employee, or agent thereof."*

Explanation: The Department requests insertion of this provision to provide greater flexibility in carrying out its requirements and in the use of appropriated resources to meet frontline mission needs.

### **Proposal to Delete *Old* Section 570**

**[(rescissions)]**

**[Sec. 570. Of the funds transferred to the Department of Homeland Security when it was created in 2003, the following funds are hereby rescinded from the following accounts and programs in the specified amounts: (1) \$2,577,000 from Coast Guard ``Acquisition, Construction, and Improvements''; (2) \$5,355,296 from U.S. Immigration and Customs Enforcement ``Salaries and Expenses''; (3) \$99,012 from U.S. Immigration and Customs Enforcement ``Violent Crime Reduction Programs''; (4) \$3,332,541 from U.S. Customs and Border Protection ``Salaries and Expenses''; (5) \$3,121,248 from Department of Homeland Security ``Office for Domestic Preparedness''; (6) \$678,213 from Federal Emergency Management Agency ``National Predisaster Mitigation Fund''; (7) \$5,201,000 from ``Working Capital Fund''; (8) \$95,998 from ``Counterterrorism Fund''; (9) \$41,091 from**

**U.S. Customs and Border Protection ``Violent Crime Reduction Fund''; and (10) \$153,095 from U.S. Immigration and Customs Enforcement ``Violent Crime Reduction Trust Fund''.]**

Explanation: The Department requests deletion of this provision because it is a onetime rescission.

#### **Proposal to Delete *Old* Section 571**

**[(rescissions)]**

**[Sec. 571. The following unobligated balances made available to the Department of Homeland Security pursuant to section 505 of Department of Homeland Security Appropriations Act, 2011 (Public Law 112-10; 125 Stat. 147) are rescinded: (1) \$178,783 from ``Analysis and Operations''; (2) \$1,619,907 from U.S. Customs and Border Protection ``Salaries and Expenses''; (3) \$296,022 from Transportation Security Administration ``Federal Air Marshals''; (4) \$37,800,412 from Coast Guard ``Operating Expenses''; (5) \$879,153 from Coast Guard ``Acquisition, Construction, and Improvements''; (6) \$1,104,347 from United States Secret Service ``Salaries and Expenses''; (7) \$97,046 from National Protection and Programs Directorate ``Management and Administration''; (8) \$78,764 from National Protection and Programs Directorate ``Infrastructure Protection and Information Security''; (9) \$117,133 from Office of Health Affairs ``Salaries and Expenses''; (10) \$1,301,581 from ``United States Citizenship and Immigration Services''; (11) \$369,032 from Federal Law Enforcement Training Center ``Salaries and Expenses''; (12) \$279,098 from Science and Technology ``Management and Administration''; (13) \$1,072,938 from Domestic Nuclear Detection Office ``Management and Administration''; and (14) \$216,744 from Federal Emergency Management Agency ``Management and Administration''.]**

Explanation: The Department requests deletion of this provision because it is a onetime rescission.

#### **Proposal to Delete *Old* Section 572**

**[(rescissions)]**

**[Sec. 572. Of the funds appropriated to the Department of Homeland Security, the following unobligated balances are hereby rescinded from the following accounts and programs in the specified amounts: (1) \$10,000,000 from U.S. Immigration and Customs Enforcement ``Salaries and Expenses''; (2) \$10,000,000 from U.S. Immigration and Customs Enforcement ``Automation Modernization''; (3) \$5,000,000 from U.S. Customs and Border Protection ``Automation Modernization'': Provided, That no funds shall be rescinded from prior year appropriations provided for the TECS modernization program; (4) \$71,300,000 from Transportation Security Administration ``Aviation Security'' account**

**70x0550; (5) \$7,000,000 from U.S. Customs and Border Protection ``Border Security Fencing, Infrastructure, and Technology''; (6) \$2,427,336 from Coast Guard ``Acquisition, Construction, and Improvements''; (7) \$5,000,000 from the ``Office of the Chief Information Officer'' related to Emerge2; and (8) \$27,400,000 from National Protection and Programs Directorate ``United States Visitor and Immigrant Indicator Technology''.]**

Explanation: The Department requests deletion of this provision because it is a onetime rescission.

### **Proposal to Delete *Old* Section 573**

**[Sec. 573. Sections 1309(a) and 1319 of the National Flood Insurance Act of 1968 (42 U.S.C. 4016(a) and 4026) are each amended by striking ``September 30, 2011'' and inserting ``the earlier of the date of the enactment into law of an Act that specifically amends the date specified in this section or May 31, 2012''. ]**

Explanation: The Department proposes deletion of this provision because it is a permanent change to the U.S. Code.

**i. Summary of FY 2013 Budget Estimates by Appropriation**

**Department of Homeland Security**  
**Departmental Management and Operations**  
 Summary of FY 2013 Budget Estimates by Appropriation  
 Total Appropriations  
 (Dollars in Thousands)

Budget Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Office of the Secretary and Executive Management <sup>1</sup>	706	\$136,190	699	\$133,159	725	\$134,150	26	\$991	0.5	\$1,462	25.5	(\$471)
Under Secretary for Management	818	237,519	897	235,587	902	221,771	5	(13,816)	---	---	5	(13,816)
DHS HQ Consolidation	---	77,245	---	55,979	---	89,000	---	33,021	---	89,000	---	(55,979)
Office of the Chief Financial Officer	183	49,280	212	50,860	212	55,414	1	4,554	---	6,700	1	(2,146)
Office of the Chief Information Officer	217	352,342	271	327,300	283	312,643	12	(14,657)	---	64,797	12	(79,454)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>1,924</b>	<b>852,576</b>	<b>2,079</b>	<b>802,885</b>	<b>2,122</b>	<b>812,978</b>	<b>44</b>	<b>10,093</b>	<b>1</b>	<b>161,959</b>	<b>43</b>	<b>(151,866)</b>
<b>Less: Adjustments for Other Funding Sources:</b>												
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>1,924</b>	<b>\$852,576</b>	<b>2,079</b>	<b>\$802,885</b>	<b>2,122</b>	<b>\$812,978</b>	<b>44</b>	<b>\$10,093</b>	<b>1</b>	<b>\$161,959</b>	<b>43</b>	<b>(\$151,866)</b>

<sup>1</sup> PL 112-74 authorized the transfer of Risk Management Office from NPPD to Office of Policy during FY12. The RMA transfer of 23 positions, 23 FTE, and \$4,241,000 is reflected and annualized in FY 2013.



ii: Homeland and Non-Homeland Allocation

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

Budget Activity	2011 Actual Obligations						2012 Enacted Budget Authority						2013 Requested Budget Authority					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Office of the Secretary and Executive Management</b>	<b>494</b>	<b>95,333</b>	<b>212</b>	<b>40,857</b>	<b>706</b>	<b>136,190</b>	<b>489</b>	<b>93,211</b>	<b>210</b>	<b>39,948</b>	<b>699</b>	<b>133,159</b>	<b>508</b>	<b>93,905</b>	<b>218</b>	<b>40,245</b>	<b>725</b>	<b>134,150</b>
Immediate Office of the Secretary	6	3,358	2	1,439	8	4,797	8	3,500	4	1,500	12	5,000	8	3,007	4	1,289	12	4,295
Immediate Office of the Deputy Secretary	4	1,889	2	810	6	2,699	6	1,343	2	575	8	1,918	6	1,671	2	716	8	2,387
Office of the Chief of Staff	13	1,788	5	766	18	2,554	13	1,610	5	690	18	2,300	13	1,749	5	749	18	2,498
Office of the Executive Secretary	41	5,909	17	2,532	58	8,441	41	5,670	17	2,430	58	8,100	41	5,595	17	2,398	58	7,993
Office of Intergovernmental Affairs	19	1,961	8	840	27	2,801	14	1,855	6	795	20	2,650	14	1,854	6	794	20	2,648
Office of Policy <sup>1</sup>	143	28,361	61	12,155	204	40,516	136	28,000	58	12,000	194	40,000	110	23,575	47	10,103	157	33,678
Private Sector Office	---	---	---	---	---	---	---	---	---	---	---	---	8	1,226	3	525	11	1,751
Office of Public Affairs	27	4,275	11	1,832	38	6,107	22	4,060	10	1,740	32	5,800	22	4,176	10	1,790	32	5,966
Office of Legislative Affairs	22	4,323	9	1,853	31	6,176	25	4,200	11	1,800	35	6,000	25	4,229	11	1,812	35	6,041
Office of General Counsel	92	16,757	39	7,182	131	23,939	92	15,680	39	6,720	131	22,400	92	15,363	39	6,584	131	21,947
Office for Civil Rights and Civil Liberties	70	14,349	30	6,150	100	20,499	78	15,750	33	6,750	111	22,500	80	15,201	34	6,515	114	21,716
Citizenship and Immigration Services Ombudsman	25	4,313	11	1,848	36	6,161	25	4,340	11	1,860	35	6,200	25	4,165	11	1,785	35	5,950
Privacy Office	24	6,045	10	2,591	34	8,635	32	5,944	14	2,547	45	8,491	32	5,871	14	2,516	45	8,387
Office of Counternarcotics Enforcement	11	2,006	5	860	15	2,865	---	1,260	---	540	---	1,800	---	---	---	---	---	---
Office of State and Local Law Enforcement	---	---	---	---	---	---	---	---	---	---	---	---	4	624	2	268	5	892
Office of International Affairs	---	---	---	---	---	---	---	---	---	---	---	---	31	5,601	13	2,400	44	8,001
<b>Under Secretary for Management</b>	<b>584</b>	<b>173,549</b>	<b>234</b>	<b>63,970</b>	<b>818</b>	<b>237,519</b>	<b>638</b>	<b>171,352</b>	<b>259</b>	<b>64,235</b>	<b>897</b>	<b>235,587</b>	<b>642</b>	<b>162,945</b>	<b>260</b>	<b>58,826</b>	<b>902</b>	<b>221,771</b>
Immediate Office of the USM	8	1,621	5	1,081	13	2,702	9	1,530	6	1,020	15	2,550	10	1,867	7	1,245	17	3,112
Office of the Chief Administrative Officer	52	25,798	35	17,198	87	42,996	83	24,420	56	16,280	139	40,700	74	21,070	50	14,047	124	35,117
DHS HQ NAC Project	---	5,902	---	---	---	5,902	---	5,000	---	---	---	5,000	---	5,448	---	---	---	5,448
Office of the Chief Human Capital Officer	68	14,664	45	9,776	113	24,440	71	15,099	47	10,066	118	25,165	73	15,583	49	10,388	122	25,971
Human Resources Information Technology (HRIT)	9	9,295	8	6,196	17	15,491	16	8,503	11	5,669	27	14,172	16	5,813	11	3,876	27	9,689
Office of the Chief Procurement Officer	212	44,579	141	29,719	353	74,298	209	46,800	140	31,200	349	78,000	215	43,906	144	29,270	359	73,176
Office of the Chief Security Officer	235	71,690	---	---	235	71,690	249	70,000	---	---	249	70,000	253	69,258	---	---	253	69,258
<b>DHS HQ Consolidation</b>	<b>---</b>	<b>77,245</b>	<b>---</b>	<b>---</b>	<b>---</b>	<b>77,245</b>	<b>---</b>	<b>55,979</b>	<b>---</b>	<b>---</b>	<b>---</b>	<b>55,979</b>	<b>---</b>	<b>89,000</b>	<b>---</b>	<b>---</b>	<b>---</b>	<b>89,000</b>
DHS HQ Consolidation - Mission Support	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
DHS HQ Consolidation - St. Elizabeths	---	77,245	---	---	---	77,245	---	55,979	---	---	---	55,979	---	89,000	---	---	---	89,000
<b>Office of the Chief Financial Officer</b>	<b>110</b>	<b>29,568</b>	<b>73</b>	<b>19,712</b>	<b>183</b>	<b>49,280</b>	<b>127</b>	<b>30,516</b>	<b>85</b>	<b>20,344</b>	<b>212</b>	<b>50,860</b>	<b>127</b>	<b>33,248</b>	<b>85</b>	<b>22,166</b>	<b>212</b>	<b>55,414</b>
<b>Office of the Chief Information Officer</b>	<b>182</b>	<b>330,678</b>	<b>35</b>	<b>21,664</b>	<b>217</b>	<b>352,342</b>	<b>203</b>	<b>300,925</b>	<b>68</b>	<b>26,375</b>	<b>271</b>	<b>327,300</b>	<b>212</b>	<b>282,476</b>	<b>71</b>	<b>30,168</b>	<b>283</b>	<b>312,643</b>
Salaries and Expenses	105	64,993	35	21,664	140	86,657	203	79,125	68	26,375	271	105,500	212	90,503	71	30,168	283	120,670
Information Technology Services	72	55,423	---	---	72	55,423	---	38,800	---	---	---	38,800	---	28,002	---	---	---	28,002
Infrastructure and Security Activities	---	163,005	---	---	---	163,005	---	139,000	---	---	---	139,000	---	121,839	---	---	---	121,839
Homeland Secure Data Network	5	47,257	---	---	5	47,257	---	44,000	---	---	---	44,000	---	42,132	---	---	---	42,132
<b>Total Direct Appropriations and Budget Estimates</b>	<b>1,370</b>	<b>706,373</b>	<b>554</b>	<b>146,203</b>	<b>1,924</b>	<b>852,576</b>	<b>1,457</b>	<b>651,983</b>	<b>622</b>	<b>150,902</b>	<b>2,079</b>	<b>802,885</b>	<b>1,489</b>	<b>661,574</b>	<b>634</b>	<b>151,405</b>	<b>2,122</b>	<b>812,978</b>

iii. Status of Congressionally Requested Studies, Reports, and Evaluation

Department of Homeland Security  
Departmental Management and Operations

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2011	2/6/2012	Senate Report 110-396	<b>CHCO: FY11 Detailee Report</b> - The Committee requires the Department to continue the quarterly detailee report. These reports shall be drafted in accordance with the revised guidance set forth in Senate Report 110-84.	Pending DHS clearance
2011	1/31/2012	Conference Report 109-241	<b>ANNUAL REPORT: (CSO) SSI Document Annual Update</b> -- Not later than January 31 of each succeeding year, starting on January 31, 2007, the Secretary shall provide annually a similar report to the Committee on Appropriations of the Senate and the House of Representatives on the titles of all DHS documents that are designated as SSI in their entirety during the period of January 1 through December 31 for the preceding year.	Pending Office Clearance
2011	5/14/2011	Joint Exp. Statement p. 57 Senate Rpt. 111-31 p. 15	<b>OCPO - 2nd FY11 Update - Acquisition Review Process:</b> Provide a quarterly status report on major acquisitions in excess of \$300,000,000. These reports must include a description of each acquisition and whether it has been approved by the Acquisition Review	Transmitted February 2, 2012
2011	8/16/2011	Joint Exp. Statement p. 57 Senate Rpt. 111-31 p. 15	<b>OCPO - 3rd FY11 Update - Acquisition Review Process:</b> Provide a quarterly status report on major acquisitions in excess of \$300,000,000. These reports must include a description of each acquisition and whether it has been approved by the Acquisition Review	Transmitted February 2, 2012
2011	11/16/2011	Joint Exp. Statement p. 57 Senate Rpt. 111-31 p. 15	<b>OCPO - 4th FY11 Update - Acquisition Review Process:</b> Provide a quarterly status report on major acquisitions in excess of \$300,000,000. These reports must include a description of each acquisition and whether it has been approved by the Acquisition Review	Pending Administration Clearance

2011	1/5/2012	P.L. 111-83, Sec. 554	<p><b>DHS Collection of Conference Fees from Non-Federal Sources Report -</b>  For fiscal year 2010 and thereafter, the Secretary of Homeland Security may collect fees from any non-Federal participant in a conference, seminar, exhibition, symposium, or similar meeting conducted by the Department of Homeland Security in advance of the conference, either directly or by contract, and those fees shall be credited to the appropriation or account from which the costs of the conference, seminar, exhibition, symposium, or similar meeting are paid and shall be available to pay the costs of the Department of Homeland Security with respect to the conference or to reimburse the Department for costs incurred with respect to the conference: Provided, That in the event the total amount of fees collected with respect to a conference exceeds the actual costs of the Department of Homeland Security with respect to the conference, the amount of such excess shall be deposited into the Treasury as miscellaneous receipts: Provided further, That the Secretary shall provide a report to the Committees on Appropriations of the Senate and the House of Representatives not later than January 5, 2011, providing the level of collections and a summary by agency of the purposes and levels of expenditures for the prior fiscal year, and shall report annually thereafter.</p>	Final Stages of DHS Clearance
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iv: Schedule of Authorized/Unauthorized Appropriations by PPA

**Department of Homeland Security**  
**Departmental Management and Operations**  
 Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity  
 (Dollars in Thousands)

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Requested Budget Authority
	Fiscal Year	Amount	Amount	Amount
<b>Office of the Secretary and Executive Management</b>				<b>134,150</b>
Immediate Office of the Secretary				4,295
Immediate Office of the Deputy Secretary				2,387
Office of the Chief of Staff				2,498
Office of the Executive Secretary				7,993
Office of Intergovernmental Affairs				2,648
Office of Policy				33,678
Private Sector Office				1,751
Office of Public Affairs				5,966
Office of Legislative Affairs				6,041
Office of General Counsel				21,947
Office for Civil Rights and Civil Liberties				21,716
Citizenship and Immigration Services Ombudsman				5,950
Privacy Office				8,387
Office of Counternarcotics Enforcement				-
Office of State and Local Law Enforcement				892
Office of International Affairs				8,001
<b>Under Secretary for Management</b>				<b>221,771</b>
Immediate Office of the USM				3,112
Office of the Chief Administrative Officer				35,117
DHS HQ NAC Project				5,448
Office of the Chief Human Capital Officer				25,971
Human Resources Information Technology (HRIT)				9,689
Office of the Chief Procurement Officer				73,176
Office of the Chief Security Officer				69,258
<b>DHS Headquarters Consolidation</b>				<b>89,000</b>
DHS HQ Consolidation - Mission Support				-
DHS HQ Consolidation - St. Elizabeths				89,000
<b>Office of the Chief Financial Officer</b>				<b>55,414</b>
<b>Office of the Chief Information Officer</b>				<b>312,643</b>
Salaries and Expenses				120,670
Information Technology Services				28,002
Infrastructure and Security Activities				121,839
Homeland Secure Data Network				42,132
<b>Total Direct Authorization/Appropriation</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$812,978</b>

# Department of Homeland Security

*Departmental Management and Operations*

*Office of the Secretary and Executive Management*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Departmental Management and Operations Office of the Secretary and Executive Management**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Salaries and expenses:**

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

##### **B. Budget Activities:**

OSEM is a separate appropriation within Departmental Management and Operations (DMO) which provides resources for 15 separate Programs, Projects and Activities (PPAs) including: Immediate Office of the Secretary, Immediate Office of the Deputy Secretary, Chief of Staff, Office of the Executive Secretary (ESEC), Intergovernmental Affairs (IGA), Office of Policy, Office of Public Affairs (OPA), Office of Legislative Affairs (OLA), Office of the General Counsel (OGC), Office for Civil Rights and Civil Liberties (CRCL), Office of the Citizenship and Immigration Ombudsman (CISOMB), Privacy Office, the Private Sector Office (PSO), the Office for State and Local Law Enforcement (OSLLE), and the Office of International Affairs (OIA). The Private Sector Office, State and Local Law Enforcement Office, and Office of International Affairs are new PPAs proposed in FY 2013. Below are brief descriptive summaries of the PPAs.

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

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

*Chief of Staff:* The Chief of Staff is responsible for coordinating policy initiatives and other actions of the Department's Components, directorates, and offices.

*Office of the Executive Secretary:* ESEC supports the Offices of the Secretary and Deputy Secretary with management of their correspondence, decision documents, and other written communications, including briefing books, Congressional questions for the record, and testimony for all departmental

hearing witnesses. ESEC is charged with ensuring that all materials presented to the Secretary and Deputy Secretary for signature have been thoroughly cleared with all relevant Components.

*Office of Intergovernmental Affairs:* IGA is responsible for communicating and coordinating State, local, tribal, and territorial (SLTT) government interactions throughout and across the Department. IGA promotes an integrated national approach to homeland security by coordinating and advancing Federal interaction with SLTT governments. IGA is responsible for continuing the homeland security dialogue with our SLTT partners, along with the national associations that represent them. IGA serves as the Secretary's primary point of contact for SLTT elected and appointed officials and their associations to ensure there are open lines of communications between the Department and its homeland security partners.

*Office of Policy:* Policy's responsibilities include the coordination of Department-wide policies, programs, and planning to ensure consistency and integration of missions throughout the Department. This office provides a centralized coordination point for developing and communicating policies across the multiple internal and external Components of the Homeland Security network. The Office of Policy also interacts with other government entities, academia, and includes counternarcotics coordination and risk management functions for DHS. In FY 2013, the Department proposes to spin off the Office for State and Local Law Enforcement, Office of International Affairs (OIA), and Private Sector Office, in order to more appropriately align the resources of the Policy Office to its core mission to coordinate Department strategy and policy. While OIA will coordinate the Department's international operations and engagement, the Office of Policy will continue to work with OIA to coordinate and develop international policy.

*Office of Public Affairs:* OPA is responsible for managing external and internal communications. The office responds to national media inquiries, maintains and updates the Department's website, writes speeches for senior department officials, and coordinates speaking events for Department officials. OPA fosters strategic communication throughout the Department and with external stakeholders through development and coordination of major DHS announcements and rollouts as well as setting common goals to promote "One DHS" objectives. The office manages the Department's organizational identity program, which includes usage of the DHS seal and related guidelines. Also, the office oversees the Department's employee communication activities, which include coordinating communications for Department-wide initiatives, town hall meetings between management and employees, and the operation and management of an intranet site. Per Presidential directive, OPA's incident communications program guides overall Federal incident communication activity and coordinates with State, local, and international partners to ensure accurate and timely information is provided to the public during a crisis.

*Office of Legislative Affairs:* OLA serves as the Department's primary liaison to Congress. OLA advocates for the policy interests of the Administration and the Secretary. OLA also ensures that all DHS Components are actively engaged with Congress in their specific areas of responsibility. OLA articulates views on behalf of DHS Components and their legislative initiatives. OLA responds to requests and inquiries from congressional committees, individual Members of Congress, and their staffs. OLA also participates in the Senate confirmation process for all DHS Presidential nominees.

*Office of the General Counsel:* The General Counsel is the chief legal officer for DHS and oversees and integrates more than 1,800 attorneys throughout the Department. OGC is responsible for ensuring that departmental activities comply with applicable legal requirements, as well as establishing that the Department's efforts to secure the Nation are consistent with the civil rights and civil liberties of our citizens and observe the rule of law. OGC provides legal advice on areas such as national security, immigration, litigation, international law, maritime safety and security, transportation security, border security law, cyber security, fiscal and appropriations law, environmental law, and many others. OGC also provides legal services in several areas where the law intersects with the achievement of mission goals, such as the coordination of the Department's rulemaking activities, managing interdepartmental clearance of proposed legislation, and providing legal training for law enforcement officers. OGC provides legal counsel for all DHS offices (except those specifically excluded by statute).

*Office for Civil Rights and Civil Liberties:* CRCL supports the Department as it secures the Nation while preserving individual liberty, fairness, and equality under the law. CRCL performs four key functions to integrate civil rights and civil liberties into departmental activities:

1. Advising Department leadership, personnel, and partners about civil rights and civil liberties issues; ensuring respect for civil rights and civil liberties in policy decisions and in the implementation of those decisions.
2. Communicating with individuals and communities whose civil rights and civil liberties may be affected by DHS activities, informing them about policies and avenues of redress, and promoting appropriate attention within the Department to their experiences and concerns.
3. Investigating and resolving civil rights and civil liberties complaints filed by the public.
4. Leading the Department's equal employment opportunity programs and promoting personnel diversity and merit system principles.

*Citizenship and Immigration Services Ombudsman:* CISOMB assists individuals and employers in resolving problems connected with cases pending before United States Citizenship and Immigration Services (USCIS). In addition, as required by statute, CISOMB identifies common problems experienced by individuals and employers when seeking USCIS services, and proposes changes to mitigate such problems and improve the delivery of immigration services. In accomplishing each of these missions, the CISOMB works impartially, soliciting information and feedback from USCIS, other government agencies, immigration benefits applicants, and the immigration stakeholder community.

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

*Private Sector Office:* Previously part of the Office of Policy, the Private Sector Office (PSO) fosters strategic communications with businesses, trade associations, and other non-governmental organizations to build stronger relationships between them and the Department. The Department proposes to establish the Private Sector Office as an independent office and PPA in FY 2013. The office will report directly to the Secretary to advise Departmental leadership on prospective policies and regulations, inform the Secretary about the economic impact of DHS policies, promote public-private partnerships and best practices to improve the Nation's homeland security, and serve as the primary point of entry for the private sector into DHS.

*Office for State and Local Law Enforcement:* Previously part of the Office of Policy, the Office for State and Local Law Enforcement (OSLLE) is the Department's principal liaison with non-Federal law enforcement partners. The Department proposes to establish OSLLE as an independent office and PPA in FY 2013. OSLLE formulates and coordinates national-level policy relating to law enforcement's role in preventing acts of terrorism, and serves as the primary Department liaison with State, local, and tribal law enforcement agencies.

*Office of International Affairs:* Previously part of the Office of Policy, The Office of International Affairs (OIA) will report directly to the Secretary and will lead, coordinate, and integrate the Department's interaction with its international partners, and develop and oversee implementation of the Department's international engagement strategy. The Department proposes to establish OIA as an independent office and PPA in FY 2013. As part of this transition, International Affairs will oversee visa waiver negotiations via the Visa Waiver Program Office.

### **C. Budget Request Summary:**

The Office of the Secretary and Executive Management requests 725 positions, 725 FTE, and \$134,150,000 for the FY 2013 request. This includes the transfer, per P.L. 112-74, of 23 positions, 23 FTE, and \$4,241,000 from National Protection and Programs Directorate in FY 2012 for Risk Management and Analysis such that the FY 2012 Base becomes 701 positions, 699 FTE and \$137,400,000. The FY 2013 request results in a net increase of 3 FTE and a decrease of \$3,250,000 million from the FY 2012 base. Base adjustments include:

- Increase – Annualization of prior-year funding for 287(g) and Secure Communities (\$373,000; 2.5 FTE);
- Increase – FY 2013 Pay Increase (\$367,000);
- Increase – Working Capital Fund Adjustment for GSA Rent and NCR Infrastructure Operations (\$3,805,000);
- Increase – Annualization of CNE transfer to Policy in FY 2012 (\$1,645,000);
- Decrease – Management Efficiencies (\$8,989,000):
  - Decrease – Efficiencies in attrition, printing, supplies, advisory & assistance services, and other contractual services (\$7,110,000);
  - Decrease – Purchasing Efficiencies (\$704,000);
  - Decrease – DHS Strategic Sourcing Initiatives (\$32,000);
  - Decrease – Permanent Change of Station (PCS) costs (\$192,000);
  - Decrease – General Temporary Duty (TDY) and Travel (\$932,000);
  - Decrease – Long-term TDY more than 30 days (\$8,000);

- Decrease – Overtime (\$11,000).
- Decrease – Termination of one-time costs for Counternarcotics Enforcement (\$1,800,000); and
- Decrease – Working Capital Fund Adjustment for Data Center Migration (\$116,000).

The total program changes include 0.5 FTE and \$135,000 for the Office for Civil Rights and Civil Liberties to support the Department's role in countering domestic violent extremism, and 0 FTE and \$1,327,000 for 287(g)/Secure Communities. These changes are described in greater detail in Section IV.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Secretary and Executive Management**  
 Summary of FY 2013 Budget Estimates by Program Project Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Immediate Office of the Secretary	8	8	4,797	12	12	5,000	12	12	4,295	-	-	(705)	-	-	-	-	-	(705)
Immediate Office of the Deputy Secretary	6	6	2,699	8	8	1,918	8	8	2,387	-	-	469	-	-	-	-	-	469
Chief of Staff	18	18	2,554	18	18	2,300	18	18	2,498	-	-	198	-	-	-	-	-	198
Executive Secretary	58	58	8,441	58	58	8,100	58	58	7,993	-	-	(107)	-	-	-	-	-	(107)
Citizenship and Immigration Services Ombudsman	36	36	6,161	35	35	6,200	35	35	5,950	-	-	(250)	-	-	-	-	-	(250)
Office for Civil Rights and Civil Liberties	100	100	20,499	113	111	22,500	114	114	21,716	1	3	(784)	1	0.5	1,462	-	2.5	(2,246)
Office of Counternarcotics Enforcement	15	15	2,865	-	-	1,800	-	-	-	-	-	(1,800)	-	-	-	-	-	(1,800)
Office of General Counsel	131	131	23,939	131	131	22,400	131	131	21,947	-	-	(453)	-	-	-	-	-	(453)
Office of Intergovernmental Affairs	27	27	2,801	20	20	2,650	20	20	2,648	-	-	(2)	-	-	-	-	-	(2)
Office of International Affairs	-	-	-	-	-	-	44	44	8,001	44	44	8,001	-	-	-	44	44	8,001
Office of Legislative Affairs	31	31	6,176	35	35	6,000	35	35	6,041	-	-	41	-	-	-	-	-	41
Office for State and Local Law Enforcement	-	-	-	-	-	-	5	5	892	5	5	892	-	-	-	5	5	892
Office of Policy <sup>1</sup>	204	204	40,516	194	194	40,000	157	157	33,678	(37)	(37)	(6,322)	-	-	-	(37)	(37)	(6,322)
Office of Public Affairs	38	38	6,107	32	32	5,800	32	32	5,966	-	-	166	-	-	-	-	-	166
Privacy Office	34	34	8,635	45	45	8,491	45	45	8,387	-	-	(104)	-	-	-	-	-	(104)
Private Sector Office	-	-	-	-	-	-	11	11	1,751	11	11	1,751	-	-	-	11	11	1,751
<b>Total, Office of the Secretary and Executive Management (OSEM):</b>	<b>706</b>	<b>706</b>	<b>136,190</b>	<b>701</b>	<b>699</b>	<b>133,159</b>	<b>725</b>	<b>725</b>	<b>134,150</b>	<b>24</b>	<b>26</b>	<b>991</b>	<b>1</b>	<b>0.5</b>	<b>1,462</b>	<b>23</b>	<b>25.5</b>	<b>(471)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>706</b>	<b>706</b>	<b>136,190</b>	<b>701</b>	<b>699</b>	<b>133,159</b>	<b>725</b>	<b>725</b>	<b>134,150</b>	<b>24</b>	<b>26</b>	<b>991</b>	<b>1</b>	<b>0.5</b>	<b>1,462</b>	<b>23</b>	<b>25.5</b>	<b>(471)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>706</b>	<b>706</b>	<b>136,190</b>	<b>701</b>	<b>699</b>	<b>133,159</b>	<b>725</b>	<b>725</b>	<b>134,150</b>	<b>24</b>	<b>26</b>	<b>991</b>	<b>1</b>	<b>0.5</b>	<b>1,462</b>	<b>23</b>	<b>25.5</b>	<b>(471)</b>

<sup>1</sup> PL 112-74 authorized the transfer of Risk Management Office from NPPD to Office of Policy during FY12 which is shown in the chart above.



### III. Current Services Program Description by PPA

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

**PPA: Immediate Office of the Secretary**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>8</b>	<b>8</b>	<b>4,797</b>
<b>2012 Enacted Budget Authority</b>	<b>12</b>	<b>12</b>	<b>5,000</b>
2013 Adjustments-to-Base	-	-	(705)
<b>2013 Current Services</b>	<b>12</b>	<b>12</b>	<b>4,295</b>
<b>2013 Total Requested Budget Authority</b>	<b>12</b>	<b>12</b>	<b>4,295</b>
Total Change 2012 to 2013	-	-	(705)

OSEM requests 12 positions, 12 FTE, and \$4.295 million in FY 2013 for The Immediate Office of the Secretary. Base adjustments include:

- Increase of \$9K for FY 2013 pay increase
- Increase of \$28K for a Working Capital Fund adjustment
- Decrease of \$742K for management efficiencies:
  - Decrease of \$707K for a General TDY & Travel Offset
  - Decrease of \$35K for supplies and materials.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Secretary is appointed by the President and confirmed by the Senate to lead DHS and act as the principal adviser to the President on homeland security matters. The Secretary ensures a coordinated national effort to prevent terrorist attacks in the United States, reduce vulnerability to and minimize damage of terrorism, and lead recovery from attacks and disasters that may occur. The Secretary is a member of the Homeland Security Council, and serves as the principal spokesperson on homeland security issues for the Administration when testifying before the House Homeland Security Committee, the Senate Homeland Security and Government Affairs Committee, and the House and Senate Appropriations Committees.

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

**PPA: Immediate Office of the Deputy Secretary**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>6</b>	<b>6</b>	<b>2,699</b>
<b>2012 Enacted Budget Authority</b>	<b>8</b>	<b>8</b>	<b>1,918</b>
2013 Adjustments-to-Base	-	-	469
<b>2013 Current Services</b>	<b>8</b>	<b>8</b>	<b>2,387</b>
<b>2013 Total Requested Budget Authority</b>	<b>8</b>	<b>8</b>	<b>2,387</b>
Total Change 2012 to 2013	-	-	469

OSEM requests 8 positions, 8 FTE, and \$2.387 million in FY 2013 for The Immediate Office of the Deputy Secretary. Base adjustments include:

- Increase of \$6K for FY 2013 pay increase
- Increase of \$463K for a Working Capital Fund adjustment

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Immediate Office of the Deputy Secretary supports the Secretary by providing leadership with a focus on the internal management and direction of the Department to ensure its efficient and effective operation. The Deputy Secretary’s role is to provide internal oversight of all Departmental operations, which allows the Secretary to focus on external matters concerning homeland security and DHS.

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

**PPA: Chief of Staff**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>18</b>	<b>18</b>	<b>2,554</b>
<b>2012 Enacted Budget Authority</b>	<b>18</b>	<b>18</b>	<b>2,300</b>
2013 Adjustments-to-Base	-	-	198
<b>2013 Current Services</b>	<b>18</b>	<b>18</b>	<b>2,498</b>
<b>2013 Total Requested Budget Authority</b>	<b>18</b>	<b>18</b>	<b>2,498</b>
Total Change 2012 to 2013	-	-	198

OSEM requests 18 positions, 18 FTE, and \$2.498 million in FY 2013 for the Chief of Staff. Base adjustments include:

- Increase of \$8K for FY 2013 pay increase
- Increase of \$190K for a Working Capital Fund adjustment

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Chief of Staff oversees DHS activities, assists in the management of DHS operations, and supports the Secretary. The Office of the Chief of Staff is responsible for all operational functions that relate to the Immediate Office of the Secretary (budget, information technology, and personnel), and assists the Secretary by coordinating continuity of operations activities for Department Headquarters, directing the Department's resources, and in the Department's efforts to Mature and Strengthen the Homeland Security Enterprise.

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

**PPA: Executive Secretary**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>58</b>	<b>58</b>	<b>8,441</b>
<b>2012 Enacted Budget Authority</b>	<b>58</b>	<b>58</b>	<b>8,100</b>
2013 Adjustments-to-Base	-	-	(107)
<b>2013 Current Services</b>	<b>58</b>	<b>58</b>	<b>7,993</b>
<b>2013 Total Requested Budget Authority</b>	<b>58</b>	<b>58</b>	<b>7,993</b>
Total Change 2012 to 2013	-	-	(107)

OSEM requests 58 positions, 58 FTE, and \$7.993 million in FY 2013 for the Office of the Executive Secretary (ESEC). Base adjustments include:

- Increase of \$31K for FY 2013 pay increase
- Increase of \$47K for a Working Capital Fund adjustment
- Decrease of \$185K for management efficiencies:
  - Decrease of \$8K for a reduction in Overtime
  - Decrease of \$177K as a reduction through efficiencies achieved in delaying the timing of replacing personnel lost through attrition and backfilling positions with lower graded personnel as well as efficiencies for supplies and materials.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

ESEC establishes effective and proficient protocols for processing all internal communication, decision management, briefings, Congressional questions for the record and reports, and Department-wide testimony. ESEC is the principal liaison between the Department and its Components, and coordinates all external correspondence for the Immediate Office of the Secretary and all directorates. ESEC establishes and maintains budget and personnel activities for the Office of the Secretary, Deputy Secretary, and Chief of Staff, as well as the Executive Secretariat.

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

**PPA: Office of Intergovernmental Affairs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>27</b>	<b>27</b>	<b>2,801</b>
<b>2012 Enacted Budget Authority</b>	<b>20</b>	<b>20</b>	<b>2,650</b>
2013 Adjustments-to-Base	-	-	(2)
<b>2013 Current Services</b>	<b>20</b>	<b>20</b>	<b>2,648</b>
<b>2013 Total Requested Budget Authority</b>	<b>20</b>	<b>20</b>	<b>2,648</b>
Total Change 2012 to 2013	-	-	(2)

OSEM requests 20 positions, 20 FTE, and \$2.648 million in FY 2013 for the Office of Intergovernmental Affairs (IGA). Base adjustments include:

- Increase of \$10K for FY 2013 pay increase
- Increase of \$16K for a Working Capital Fund adjustment
- Decrease of \$28K for management efficiencies:
  - Decrease of \$28K for a General TDY & Travel Offset

**CURRENT SERVICES PROGRAM DESCRIPTION:**

IGA serves both as an advocate for the State, local, tribal, and territorial (SLTT) elected and appointed officials within the Department and as the primary liaison between those officials senior DHS leadership.

IGA’s stakeholder community consists of over 500,000 elected and appointed officials within the United States. These officials include governors, homeland security advisors, mayors, county executives, state legislators, leadership of the 565 federally recognized Native American and Native Alaskan tribes, emergency managers, and the numerous national associations that represent these officials. IGA’s stakeholders are crafting policy and implementing budget decisions at all levels of government that impact State and local homeland security efforts as well as the Department and our operations.

IGA manages communications with SLTT officials and coordinates activities across the spectrum of issues, initiatives, and programs confronting all agencies and Components of the Department. IGA also coordinates with counterpart Intergovernmental Affairs Offices within other Executive Branch agencies and the White House, working to ensure that elected and appointed government officials across the nation at the State, local, tribal and territorial levels are informed of DHS policies, programs, and priorities. IGA coordinates messaging and activities with the other DHS stakeholder offices—including Private Sector Office, State and Local Law Enforcement, Public Affairs, and Legislative Affairs—to ensure that the full spectrum of our partners in the homeland are engaged in the homeland security process.



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

**PPA: Office of Policy**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>204</b>	<b>204</b>	<b>40,516</b>
<b>2012 Enacted Budget Authority</b>	<b>194</b>	<b>194</b>	<b>40,000</b>
2013 Adjustments-to-Base	(37)	(37)	(6,322)
<b>2013 Current Services</b>	<b>157</b>	<b>157</b>	<b>33,678</b>
<b>2013 Total Requested Budget Authority</b>	<b>157</b>	<b>157</b>	<b>33,678</b>
Total Change 2012 to 2013	(37)	(37)	(6,322)

OSEM requests 157 positions, 157 FTE, and \$33.678 million in FY 2013 for the Office of Policy. This includes the transfer, per P.L. 112-74, of 23 positions, 23 FTE, and \$4,241,000 from National Protection and Programs Directorate in FY 2012 for Risk Management and Analysis such that the FY 2012 Base for Policy becomes \$44.241 million. Base adjustments include:

- Realignment (decrease) of \$1.761M to create the Private Sector Office
- Realignment (decrease) of \$891K to create the Office for State and Local Law Enforcement
- Realignment (decrease) of \$7.988M to create the Office of International Affairs
- Increase of \$40K for FY 2013 pay increase
- Increase of \$1.124M for a Working Capital Fund adjustment
- Increase of \$1.645M for the annualization of CNE transfer to Policy in FY 2012
- Decrease of \$2.732M for management efficiencies:
  - Decrease of \$1.960M as a reduction through efficiencies for supplies and materials, contracts, and maintenance of equipment
  - Decrease of \$301K for a General TDY & Travel Offset
  - Decrease of \$8K for Long-term TDY more than 30 days
  - Decrease of \$259K for Purchasing Savings
  - Decrease of \$12K for DHS Strategic Sourcing Initiatives
  - Decrease of \$192K for PCS costs

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Policy's responsibilities include the coordination of Department-wide policies, programs, and planning to ensure consistency and integration of missions throughout the Department. This office provides a centralized coordination point for developing and communicating policies across the multiple internal and external Components of the Homeland Security network. In addition to DHS, the Office of Policy also interacts with other government entities, academics, and now includes counternarcotics coordination and risk management functions for DHS.

The FY 2013 request includes the annualization of the FY 2012 realignment of counternarcotics coordination and risk management programs into the Office of Policy. This fulfills the intent of the Public Law 112-74, enhances DHS internal coordination of policies, and realizes efficiencies of \$0.155 M in resourcing these areas at DHS.

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

**PPA: Office of Public Affairs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>38</b>	<b>38</b>	<b>6,107</b>
<b>2012 Enacted Budget Authority</b>	<b>32</b>	<b>32</b>	<b>5,800</b>
2013 Adjustments-to-Base	-	-	166
<b>2013 Current Services</b>	<b>32</b>	<b>32</b>	<b>5,966</b>
<b>2013 Total Requested Budget Authority</b>	<b>32</b>	<b>32</b>	<b>5,966</b>
Total Change 2012 to 2013	-	-	166

OSEM requests 32 positions, 32 FTE, and \$5.966 million in FY 2013 for the Office of Public Affairs (OPA). Base adjustments include:

- Increase of \$18K for FY 2013 pay increase
- Increase of \$587K for a Working Capital Fund adjustment
- Decrease of \$439K for management efficiencies:
  - Decrease of \$406K for a reduction through attrition
  - Decrease of \$33K for a General TDY & Travel Offset

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OPA is responsible for managing external and internal communications. The office responds to national media inquiries, maintains and updates the Department’s website, writes speeches for senior Department officials and coordinates speaking events for Departmental officials. The office also oversees the Department’s employee communication activities.

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

**PPA: Office of Legislative Affairs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>31</b>	<b>31</b>	<b>6,176</b>
<b>2012 Enacted Budget Authority</b>	<b>35</b>	<b>35</b>	<b>6,000</b>
2013 Adjustments-to-Base	-	-	41
<b>2013 Current Services</b>	<b>35</b>	<b>35</b>	<b>6,041</b>
<b>2013 Total Requested Budget Authority</b>	<b>35</b>	<b>35</b>	<b>6,041</b>
Total Change 2012 to 2013	-	-	41

OSEM requests 35 positions, 35 FTE, and \$6.041 million in FY 2013 for the Office of Legislative Affairs (OLA). Base adjustments include:

- Increase of \$23K for FY 2013 pay increase.
- Increase of \$303K for a Working Capital Fund adjustment
- Decrease of \$285K for management efficiencies:
  - Decrease of \$285K through efficiencies achieved in delaying the timing of replacing personnel lost through attrition and backfilling positions with lower graded personnel, efficiencies in travel, contracts, and maintenance of facilities

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OLA serves as the Department’s primary liaison to Congress and advocates for the policy interests of the President of the United States and the Secretary of Homeland Security. OLA ensures that all DHS Components are actively engaged with Congress in their specific areas of responsibility.

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

**PPA: Office of General Counsel**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>131</b>	<b>131</b>	<b>23,939</b>
<b>2012 Enacted Budget Authority</b>	<b>131</b>	<b>131</b>	<b>22,400</b>
2013 Adjustments-to-Base	-	-	(453)
<b>2013 Current Services</b>	<b>131</b>	<b>131</b>	<b>21,947</b>
<b>2013 Total Requested Budget Authority</b>	<b>131</b>	<b>131</b>	<b>21,947</b>
Total Change 2012 to 2013	-	-	(453)

OSEM requests 131 positions, 131 FTE, and \$21.947 million in FY 2013 for the Office of the General Counsel (OGC). Base adjustments include:

- Increase of \$62K for FY 2013 pay increase
- Decrease of \$515K for management efficiencies:
  - Decrease of \$515K through a efficiencies in contracts

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OGC is responsible for all legal activities within the Department. OGC facilitates full execution of the actions necessary for the Department to accomplish its mission and meet its statutory responsibilities. OGC provides legal counsel for all DHS offices, except those specifically excluded by statute. OGC's legal services cover several legal areas including national security, immigration, litigation, international law, maritime safety and security, transportation security, border security law, cyber security, fiscal and appropriations law, environmental law, labor and employment, intellectual property law; emergency rescue, recovery and response authorities; civil, criminal and administrative law; intelligence; information sharing, safeguarding, and disclosure; Congressional response; procurement; and the regulation of infrastructure security.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Secretary and Executive Management  
 Office for Civil Rights and Civil Liberties  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office for Civil Rights and Civil Liberties**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>100</b>	<b>100</b>	<b>20,499</b>
<b>2012 Enacted Budget Authority</b>	<b>113</b>	<b>111</b>	<b>22,500</b>
2013 Adjustments-to-Base	-	2.5	(2,246)
<b>2013 Current Services</b>	<b>113</b>	<b>113.5</b>	<b>20,254</b>
2013 Program Change	1	0.5	1,462
<b>2013 Total Requested Budget Authority</b>	<b>114</b>	<b>114</b>	<b>21,716</b>
Total Change 2012 to 2013	1	3	(784)

OSEM requests 114 positions, 114 FTE, and \$21.716 million in FY 2013 for the Office of Civil Rights and Civil Liberties (CRCL).

Base adjustments include:

- Increase of \$373K for the annualization of 2.5 FTE for ICE Secure Communities and 287(g) oversight
- Increase of \$76K for FY 2013 pay increase
- Increase of \$700K for a Working Capital Fund Adjustment
- Decrease of \$3.395M for management efficiencies:
  - Decrease of \$3.001M for efficiencies in printing and contracts
  - Decrease of \$65K for a General TDY & Travel Offset
  - Decrease of \$315K for Purchasing Savings
  - Decrease of \$14K for DHS Strategic Sourcing Initiatives

Program Changes include:

- Increase of \$135K as a program change for 1 position for Counter Domestic Violent Extremism
- Increase of \$1.327M as a program change to ICE Secure Communities and 287(g) oversight



## **CURRENT SERVICES PROGRAM DESCRIPTION:**

CRCL provides DHS with advice on the full range of civil rights and civil liberties issues, investigates complaints by the public about civil rights and civil liberties violations, and offers recommendations to solve problems uncovered by those investigations. CRCL provides training and technical assistance to DHS personnel and SLTT partners; and conducts outreach and engagement with communities whose civil rights and civil liberties are affected by DHS activities. The Office acts as the DHS-designated single point of contact for human rights treaties and complaints. CRCL also facilitate U.S. Government-wide communication to community leaders after a security or other incident through its Incident Community Coordination Teams. CRCL makes information available to the public on the responsibilities and functions of, and how to contact, the Officer for Civil Rights and Civil Liberties, including how to file civil rights and civil liberties complaints. It conducts administrative adjudication of disability discrimination claims under Section 504 of the Rehabilitation Act of 1973. CRCL leads the Department's Equal Employment Opportunity (EEO) and diversity programs and is responsible for DHS-wide policies, training, and complaint adjudication processes to promote EEO and diversity for all employees and applicants.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Secretary and Executive Management  
 Citizenship and Immigration Services Ombudsman  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Citizenship and Immigration Services Ombudsman**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>36</b>	<b>36</b>	<b>6,161</b>
<b>2012 Enacted Budget Authority</b>	<b>35</b>	<b>35</b>	<b>6,200</b>
2013 Adjustments-to-Base	-	-	(250)
<b>2013 Current Services</b>	<b>35</b>	<b>35</b>	<b>5,950</b>
<b>2013 Total Requested Budget Authority</b>	<b>35</b>	<b>35</b>	<b>5,950</b>
Total Change 2012 to 2013	-	-	(250)

OSEM requests 35 positions, 35 FTE, and \$5.950 million in FY 2013 for the Citizenship and Immigration Services Ombudsman (CISOMB). Base adjustments include:

- Increase of \$21K for FY 2013 pay increase
- Increase of \$347K for a Working Capital Fund adjustment
- Decrease of \$618K for management efficiencies:
  - Decrease of \$455K through attrition, efficiencies in printing, and supplies
  - Decrease of \$24K for a General TDY & Travel Offset
  - Decrease of \$130K for Purchasing Savings
  - Decrease of \$6K for DHS Strategic Sourcing Initiatives
  - Decrease of \$3K for a reduction in Overtime

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The statutory mission of CISOMB is to assist individuals and employers in resolving immigration benefits problems, propose changes in administrative practices to improve customer service, and directly provide Congress and the Department with substantive analysis on the quality of immigration services. CISOMB accomplishes this mission through public outreach; the diligent study of important issues across the spectrum of immigration benefits and services; identifying best practices and forward-looking business models that will meet future challenges for DHS; proposing impartial, operationally sound, and credible solutions to customer-service barriers; and working cooperatively with government partners to benefit the public. Throughout the year, CISOMB publishes a series of

recommendations, updates, and other advisories focused on improving the receipt, processing, review, and adjudication of immigration benefits applications. CISOMB is also responsible for providing Congress with a comprehensive annual report analyzing serious and pervasive problems affecting the delivery of immigration services.

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

**PPA: Privacy Office**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>34</b>	<b>34</b>	<b>8,635</b>
<b>2012 Enacted Budget Authority</b>	<b>45</b>	<b>45</b>	<b>8,491</b>
2013 Adjustments-to-Base	-	-	(104)
<b>2013 Current Services</b>	<b>45</b>	<b>45</b>	<b>8,387</b>
<b>2013 Total Requested Budget Authority</b>	<b>45</b>	<b>45</b>	<b>8,387</b>
Total Change 2012 to 2013	-	-	(104)

OSEM requests 45 positions, 45 FTE, and \$8.387 million in FY 2013 for the Privacy Office. Base adjustments include:

- Increase of \$30K for FY 2013 pay increase
- Decrease of \$116K for a Working Capital Fund adjustment
- Decrease of \$18K for management efficiencies:
  - Decrease of \$18K for a General TDY & Travel Offset

**CURRENT SERVICES PROGRAM DESCRIPTION:**

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

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

**PPA: Office of Counternarcotics Enforcement**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>15</b>	<b>15</b>	<b>2,865</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>1,800</b>
2013 Adjustments-to-Base	-	-	(1,800)
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	-	-	(1,800)

OSEM requests 0 positions, 0 FTE, and \$0.0 million in FY 2013 for the Office of Counternarcotics Enforcement. Base adjustments include:

- Decrease of \$1.800M as a termination of one-time costs

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Counternarcotics Enforcement (CNE) was eliminated in Fiscal Year 2012 per Public Law 112-74. The funding was transferred to the Office of Policy in FY 2012 and recurred in Policy's base in FY 2013. The Office of Policy assumed policy development and coordination responsibilities previously assigned to CNE.

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

**PPA: Private Sector Office**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	11	11	1,751
<b>2013 Current Services</b>	<b>11</b>	<b>11</b>	<b>1,751</b>
<b>2013 Total Requested Budget Authority</b>	<b>11</b>	<b>11</b>	<b>1,751</b>
Total Change 2012 to 2013	11	11	1,751

OSEM requests 11 positions, 11 FTE, and \$1.751 million in FY 2013 for the Private Sector Office. Base adjustments include:

- Realignment (increase) of \$1.761M from the Office of Policy to create the Private Sector Office
- Increase of \$10K for FY 2013 pay increase
- Decrease of \$20K for management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The mission of the Private Sector Office (PSO) is to foster strategic communications with leaders of businesses, trade associations and other non-governmental organizations to create stronger relationships with the Department of Homeland Security (DHS). The PSO is the lead office and point of contact for advising the Secretary on prospective programs, initiatives, and regulations which relate to the private sector. As such, the PSO informs the Secretary on the economic impact to the private sector from DHS activities across all five QHSR mission areas. The Office also leads in the promotion of public-private partnerships and best practices to improve the Nation’s homeland security and aid in both economic and national security.

As primary advisor to the Secretary on issues related to the private sector, PSO coordinates active engagement between DHS and the private sector to build strong partnerships, shape policy, and enhance internal and external dialog. In times of heightened threat/crisis and emergency response the

Private Sector Office serves as an advisor as well as a resource for the Secretary with key strategic links to the private sector community.

PSO develops institutionalized and DHS enterprise-wide private sector engagement processes. The Office actively coordinates and engages DHS Components to increase transparency of programmatic activities and to provide increased opportunities for alignment of private sector engagement. This has helped reduce duplicative efforts and has allowed the Secretary and the Department to more strategically and efficiently engage the private sector.



**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Secretary and Executive Management  
 Office for State and Local Law Enforcement  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office for State and Local Law Enforcement**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	5	5	892
<b>2013 Current Services</b>	<b>5</b>	<b>5</b>	<b>892</b>
<b>2013 Total Requested Budget Authority</b>	<b>5</b>	<b>5</b>	<b>892</b>
Total Change 2012 to 2013	5	5	892

OSEM requests 5 positions, 5 FTE, and \$892 thousand in FY 2013 for the Office for State and Local Law Enforcement (OSLLE). Base adjustments include:

- Realignment (increase) of \$891K to create the Office for State and Local Law Enforcement
- Increase of \$3K for FY 2013 pay increase
- Decrease of \$2K for management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OSLLE is the Department of Homeland Security's principal liaison to the non-Federal law enforcement community, and provides the Secretary with situational awareness and real-time information with which to make informed decisions and lead the formulation of effective policy. Non-Federal law enforcement agencies, personnel, and associations are often best positioned to inform DHS on local priorities, concerns, and areas where DHS can assist and collaborate in their area. OSLLE also coordinates communication of the Department's priority programs and initiatives to non-Federal partners and solicits feedback and opportunities for enhancements. In FY 2013, OSLLE will be established as an independent office, reflecting the Department's continued focus on engagement with State, local, and tribal law enforcement agencies by providing an easily accessible single point of contact.

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

**PPA: Office of International Affairs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	44	44	8,001
<b>2013 Current Services</b>	<b>44</b>	<b>44</b>	<b>8,001</b>
<b>2013 Total Requested Budget Authority</b>	<b>44</b>	<b>44</b>	<b>8,001</b>
Total Change 2012 to 2013	44	44	8,001

OSEM requests 44 positions, 44 FTE, and \$8.001 million in FY 2013 for the Office of International Affairs (OIA). Base adjustments include:

- Realignment of \$7.988M to create the Office of International Affairs
- Increase of \$23K for FY 2013 pay increase
- Decrease of \$10K for management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OIA will report directly to the Secretary and will lead, coordinate, and integrate the Department’s interaction with its international partners, and develop and oversee implementation of the Department’s international engagement strategy. OIA will be established as an independent office in FY 2013.

The Assistant Secretary for International Affairs will be supported by two Deputy Assistant Secretaries; one for the Americas and one for Asia, Europe, Middle East, and Africa. The Visa Waiver Program Office will move from the Office of Policy into the Office of International Affairs.

## IV. Program Justification Changes

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

**Program Increase 1:** Counter Domestic Violent Extremism  
PPA: Office for Civil Rights and Civil Liberties  
Program Increase: Positions 1, FTE 0.5, Dollars \$135

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							1	0.5	135
<b>Total Request</b>	-	-	-	-	-	-	<b>1</b>	<b>0.5</b>	<b>135</b>

**Description of Item**

The Office for Civil Rights and Civil Liberties (CRCL) requests 1 position, 0.5 FTE, and \$135,000 to ensure the continuation of the CRCL “Counter Violent Extremism (CVE) through Community Partnerships” training program for state, local, and federal law enforcement. This program supports the implementation of the White House’s *National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States* and the DHS CVE strategy. CRCL’s program trains thousands of law enforcement personnel annually to effectively use community partnerships to counter violent extremism. The CRCL CVE training curriculum includes three components of on-site instruction: understanding violent radicalization; cultural awareness; and community engagement. Participants receive a how-to guide for community interaction and effective policing without the use of ethnic profiling. The course orients law enforcement personnel to key cultural issues involving the American Arab, Muslim, Sikh, Somali, and South Asian communities. Between October 2010 and October 2011, DHS CRCL trained nearly 2,700 law enforcement officials on CVE and cultural awareness at 46 separate events.

**Justification**

CRCL’s continuation of the CVE training program is necessary to conduct several of the activities designated under the White House’s *Strategic Implementation Plan for Empowering Local Partners to Prevent Violent Extremism in the United States* (SIP), released on December 8, 2011. The SIP is the

blueprint for how the U.S. Government will implement the Domestic Strategy on Countering Violent Extremism, its first strategy to address violent extremism in the Homeland. The SIP lists the current and future actions the U.S. Government will take in support of a locally-focused, community-based approach, in three broad areas: (1) enhancing engagement with and support to local communities; (2) building government and law enforcement expertise; and (3) countering violent extremist propaganda while promoting our ideals. This is the first U.S. Government strategy and implementation plan to address ideologically-inspired violent extremism in the homeland.

CRCL's CVE training project is listed as one of the key initiatives in the DHS role in the implementation for the White House Strategy.

CRCL will also serve as a critical resource for the upcoming DHS-FLETC effort in furtherance of the SIP to develop a CVE curriculum to be integrated into existing training programs for federal law enforcement. The curriculum will give federal law enforcement a better understanding of CVE and how to more effectively leverage existing local partnerships.

In addition, DHS, in partnership with the Los Angeles Police Department and the National Consortium for Advanced Policing, is developing a CVE curriculum that includes a 16-hour continuing education module for executive and front line officers as well as a 30-minute module that will be introduced at police academies. Both will be certified by the Police Officers Standards and Training Council. By 2013, DHS seeks to (1) implement the curriculum across the country on a regional basis; (2) develop a national network of trainers. CRCL participation and expertise will be a critical resource in the development of this program.

### **Impacts on Performance**

The performance of the CVE project will directly support DHS's mission of *Preventing Terrorism and Enhancing Security*. CRCL will be able to dedicate full time support to continue to:

- Meet the current and future DHS planned participation in the White House SIP implementation; and
- Improve the development of and use of standardized training based on the latest intelligence and academic research, which conveys information about violent extremism; improves cultural competency; and imparts best practices and lessons learned for effective community engagement and partnerships.

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

**Program Increase 2:** 287(g) and Secure Communities Programs  
PPA: Office for Civil Rights and Civil Liberties  
Program Increase: Positions 0, FTE 0, Dollars \$1,327

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							5	5	1,067
Program Increase							-	-	1,327
<b>Total Request</b>	-	-	-	5	2.5	694	5	5	2,394

**Description of Item**

The office for Civil Rights and Civil Liberties (CRCL) requests a program increase of \$1.327 million to ensure that the Department’s immigration efforts comply with all applicable civil rights statutes and constitutional requirements. In FY 2012, CRCL received a program increase of 5 positions, 2.5 FTE, and \$694K. The additional 2.5 FTE are included as an adjustment-to-base in FY 2013 at \$373K. The additional program increase of \$1.327 million will allow CRCL to further provide policy advice, investigations, and training relating to Immigration and Customs Enforcement’s (ICE) Secure Communities and 287(g) programs. CRCL will continue to participate in ICE’s 287(g) advisory committee, improve ICE’s site audits of 287(g) programs, conduct sole and joint investigations, improve data-based and statistical oversight, review policies and procedures to ensure respect for civil rights and civil liberties, and provide training and awareness briefing materials and roll call videos for state and local law enforcement. ICE’s 287(g) and Secure Communities programs directly touch upon the civil rights and civil liberties of many thousands of people who are arrested or otherwise touched by local law enforcement, and include complex issues such as potential race-based policing, violations of the Fourth and Fifth Amendments to the Constitution, support to victims of crimes who are entitled to protection under the Immigration and Nationality Act, and compliance with international human rights treaties.

**Justification**

Secure Communities has grown rapidly since the program first began in 2009 and nationwide activation is expected by FY 2013. As such, CRCL’s oversight is needed to ensure that the program complies with all applicable civil rights statutes and constitutional requirements.

CRCL is statutorily responsible to provide civil rights oversight for these two programs, but as the programs have rapidly expanded across the country, additional funding is required for CRCL to adequately staff that oversight. In particular, funding will assist CRCL in establishing a robust ability to perform the following activities:

- Investigate broad civil rights complaints against such programs;
- Work with 287(g) programs on systematic reporting and other compliance with Title VI of the Civil Rights Act of 1964 (which bans race and national origin discrimination);
- Support Secure Communities program training to assist compliance with civil rights requirements while identifying, detaining and processing immigration offenders, or to engage with affected communities to educate them about the program;
- Conduct outreach to ensure that local communities are aware of civil rights complaint procedures.

Moreover, funds will enable CRCL to:

- Conduct statistical analysis of Secure Communities to produce quarterly reports that will be made public and guide oversight analysis and investigation;
- Provide assistance to ICE on its 287(g) Office of Professional Responsibility (OPR) audit process;
- Work with ICE on training for 287(g) officers; and
- Prepare a series of awareness briefings for front-line state and local law enforcement personnel on civil rights issues related to Secure Communities.

CRCL staff will conduct investigations involving systematic or consistent discriminatory practices, augment training (both live and web-based) provided to state and local law enforcement personnel that participate in the programs, conduct sophisticated special and routine statistical analysis, provide civil rights and civil liberties policy advice, and engage with affected communities. CRCL will also be able to increase collaboration efforts with both ICE and the U.S. Department of Justice (DOJ). ICE collaboration will include assistance in program development and evolution of policies, procedures, and activities to ensure appropriate protection for civil rights and civil liberties, to assist ICE's OPR in its audits of 287(g) jurisdictions both through on-site participation and recommendations for better incorporation of civil rights and civil liberties issues into its standardized audit procedures, and to provide civil rights and civil liberties training to ICE OPR auditors and to ICE 287(g) program managers. CRCL will also further collaboration with ICE's Law Enforcement Support Center (LESC) to better survey and monitor the exercise of immigration authority by state and local law enforcement.

### **Impacts on Performance**

The performance of this program will directly support DHS's mission of Enforcing and Administering Our Immigration Laws, which is enhanced by the Secure Communities and 287(g) programs. It is crucial that these programs proceed with sufficient regard for – and support, training, oversight related to – civil rights requirements.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For necessary expenses of the Office of the Secretary of Homeland Security, as authorized by section 102 of the Homeland Security Act of 2002 (6 U.S.C. 112), and executive management of the Department of Homeland Security, as authorized by law, [\$133,159,000] \$134,150,000: Provided, That not to exceed \$51,000 shall be for official reception and representation expenses, of which \$17,000 shall be made available to the Office of [Policy] International Affairs for Visa Waiver Program negotiations in Washington, DC, and for other international activities.[: Provided further, That all official costs associated with the use of government aircraft by Department of Homeland Security personnel to support official travel of the Secretary and the Deputy Secretary shall be paid from amounts made available for the Immediate Office of the Secretary and the Immediate Office of the Deputy Secretary: Provided further, That of the total amount made available under this heading, \$1,800,000 shall remain available until March 30, 2012, for the Office of Counternarcotics Enforcement, of which up to \$1,800,000 may, notwithstanding section 503 of this Act, be transferred to the Office of Policy: Provided further, That amounts transferred pursuant to the preceding proviso shall remain available until September 30, 2012: Provided further, That the Assistant Secretary for Policy shall submit to the Committees on Appropriations of the Senate and the House of Representatives not later than March 30, 2012, an expenditure plan for the Office of Policy which includes a detailed description of any funds transferred to the Office for Counternarcotics Enforcement and activities related to Risk Management and Analysis: Provided further, That \$30,000,000 shall not be available for obligation until the Secretary of Homeland Security submits to the Committees on Appropriations of the Senate and the House of Representatives a comprehensive plan for implementation of the biometric air exit system, as mandated in Public Law 110-53, including the estimated costs of implementation.]

#### **Explanation of Changes:**

In FY 2013, the Department proposes to establish the following offices within OSEM: Office for State and Local Law Enforcement, Office of International Affairs, and Private Sector Office, in order to more appropriately align the resources of the Policy Office to its core mission to coordinate Department strategy and policy. The Visa Waiver Program is a subset of the Office of International Affairs and as such the legislative language should reflect the alignment of the official reception and representation funding in the Office of International Affairs vice the Office of Policy.

With less funding available in the Immediate Office of the Secretary and the Immediate Office of the Deputy Secretary budgets, we require flexibility to ensure we can meet all travel for mission critical operations from all available sources of funding. As such we are seeking removal of the language.



## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Secretary and Executive Management  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>706</b>	<b>706</b>	<b>136,190</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>701</b>	<b>699</b>	<b>133,159</b>
<b>Transfers</b>			
Transfer in from NPPD/RMA to Office of Policy	23	23	4,241
<b>Total, FY 2012 Base</b>	<b>724</b>	<b>722</b>	<b>137,400</b>
<b>Adjustments-to-Base</b>			
<b>Increases</b>			
2013 pay increase	-	-	370
Annualization of CNE realignment to Policy	-	-	1,645
Annualization of prior year funding	-	2.5	373
Realignment of - OIA, PSO, OSLLE out of Policy	60	60	10,640
Working Capital Fund Increase	-	-	3,805
<b>Total, Increases</b>	<b>60</b>	<b>62.5</b>	<b>16,833</b>
<b>Decreases</b>			
Management Efficiencies	-	-	(8,989)
Realignment out - OIA, PSO, OSLLE out of Policy	(60)	(60)	(10,640)
Termination of one-time costs	-	-	(1,800)
Working Capital Fund Decrease	-	-	(116)
<b>Total, Decreases</b>	<b>(60)</b>	<b>(60)</b>	<b>(21,545)</b>
<b>Total, Adjustments-to-Base</b>	<b>23</b>	<b>25.5</b>	<b>(4,712)</b>
<b>FY 2013 Current Services</b>	<b>724</b>	<b>724.5</b>	<b>132,688</b>
<b>Program Changes</b>			
<b>Increases</b>			
287(g) and Secure Communities Programs	-	-	1,327
Counter Domestic Violent Extremism	1	0.5	135
<b>Total, Increases</b>	<b>1</b>	<b>0.5</b>	<b>1,462</b>
<b>Total, Program Changes</b>	<b>1</b>	<b>0.5</b>	<b>1,462</b>
<b>FY 2013 Requested Budget Authority</b>	<b>725</b>	<b>725</b>	<b>134,150</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>24</b>	<b>26</b>	<b>991</b>

## C. Summary of Requirements

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

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>706</b>	<b>706</b>	<b>136,190</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>701</b>	<b>699</b>	<b>133,159</b>
<b>Adjustments-to-Base</b>	-	-	-
Transfers	23	23	4,241
Increases	60	62.5	16,833
Decreases	(60)	(60)	(21,545)
<b>Total, Adjustments-to-Base</b>	<b>23</b>	<b>25.5</b>	<b>(471)</b>
<b>FY 2013 Current Services</b>	<b>724</b>	<b>724.5</b>	<b>132,688</b>
<b>Program Changes</b>	-	-	-
Increases	1	0.5	1,462
<b>Total, Program Changes</b>	<b>1</b>	<b>0.5</b>	<b>1,462</b>
<b>FY 2013 Requested Budget Authority</b>	<b>725</b>	<b>725</b>	<b>134,150</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>24</b>	<b>26</b>	<b>991</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immediate Office of the Secretary	12	12	5,000	-	-	(705)	-	-	-	12	12	4,295	-	-	(705)
Immediate Office of the Deputy Secretary	8	8	1,918	-	-	469	-	-	-	8	8	2,387	-	-	469
Chief of Staff	18	18	2,300	-	-	198	-	-	-	18	18	2,498	-	-	198
Executive Secretary	58	58	8,100	-	-	(107)	-	-	-	58	58	7,993	-	-	(107)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Citizenship and Immigration Services Ombudsman	35	35	6,200	-	-	(250)	-	-	-	35	35	5,950	-	-	(250)
Office for Civil Rights and Civil Liberties	113	111	22,500	-	2.5	(2,246)	1	0.5	1,462	114	114	21,716	1	3	(784)
Office of Counternarcotics Enforcement	-	-	1,800	-	-	(1,800)	-	-	-	-	-	-	-	-	(1,800)
Office of General Counsel	131	131	22,400	-	-	(453)	-	-	-	131	131	21,947	-	-	(453)
Office of Intergovernmental Affairs	20	20	2,650	-	-	(2)	-	-	-	20	20	2,648	-	-	(2)
Office of International Affairs	-	-	-	44	44	8,001	-	-	-	44	44	8,001	44	44	8,001
Office of Legislative Affairs	35	35	6,000	-	-	41	-	-	-	35	35	6,041	-	-	41
Office for State and Local Law Enforcement	-	-	-	5	5	892	-	-	-	5	5	892	5	5	892
Office of Policy	194	194	40,000	(37)	(37)	(6,322)	-	-	-	157	157	33,678	(37)	(37)	(6,322)
Office of Public Affairs	32	32	5,800	-	-	166	-	-	-	32	32	5,966	-	-	166
Privacy Office	45	45	8,491	-	-	(104)	-	-	-	45	45	8,387	-	-	(104)
Private Sector Office	-	-	-	11	11	1,751	-	-	-	11	11	1,751	11	11	1,751
<b>Total</b>	<b>701</b>	<b>699</b>	<b>133,159</b>	<b>23</b>	<b>26</b>	<b>(471)</b>	<b>1</b>	<b>-</b>	<b>1,462</b>	<b>725</b>	<b>725</b>	<b>134,150</b>	<b>24</b>	<b>26</b>	<b>991</b>

## D. Summary of Reimbursable Resources

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

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Customs and Border Protection	5	3	197	4	2	200	4	2	180	-	-	(20)
Department of Justice	-	-	-	1	1	156	-	-	-	(1)	(1)	(156)
Department of State	2	2	1,902	2	2	1,937	7	7	1,937	5	5	-
Department of Treasury	1	1	76	1	-	17	-	-	-	(1)	-	(17)
Domestic Nuclear Detection Office	1	1	180	1	1	175	1	1	214	-	-	39
Federal Emergency Management Agency	-	-	4	2	1	110	2	1	118	-	-	8
Immigration and Customs Enforcement	29	26	1,059	30	15	1,411	16	16	310	(14)	1	(1,101)
Intelligence and Analysis	10	11	699	6	6	1,030	6	6	1,009	-	-	(21)
National Protection and Programs Directorate	22	17	2,220	20	20	3,350	29	28	4,071	9	8	721
Office of Health Affairs	2	2	333	2	2	330	2	2	402	-	-	72
Office of the Director of National Intelligence	1	1	72	1	1	103	-	-	-	(1)	(1)	(103)
Operations Coordination	-	2	254	2	2	310	2	2	382	-	-	72
Science and Technology	5	5	619	6	6	907	6	6	1,001	-	-	94
Transportation Security Administration	4	2	153	2	1	100	2	1	98	-	-	(2)
United States Coast Guard	1	1	32	2	1	100	1	1	49	(1)	-	(51)
United States Secret Service	2	2	256	2	1	120	-	-	-	(2)	(1)	(120)
<b>Total Budgetary Resources</b>	<b>85</b>	<b>76</b>	<b>8,056</b>	<b>84</b>	<b>62</b>	<b>10,356</b>	<b>78</b>	<b>73</b>	<b>9,771</b>	<b>(6)</b>	<b>11</b>	<b>(585)</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Office of Civil Rights and Liberties	25	25	909	24	12	1,301	22	22	460	(2)	10	(841)
Office of General Counsel	49	39	4,968	56	46	6,796	48	43	7,208	(8)	(3)	412
Office of Legislative Affairs	-	-	4	-	-	-	-	-	-	-	-	-
Office of Public Affairs	1	1	40	-	-	-	-	-	-	-	-	-
Office of the Executive Secretary	1	1	53	1	1	167	1	1	166	-	-	(1)
[Offsetting Fee collections]	10	10	2,082	3	3	2,092	7	7	1,937	4	4	(155)
<b>Total Obligations</b>	<b>86</b>	<b>76</b>	<b>8,056</b>	<b>84</b>	<b>62</b>	<b>10,356</b>	<b>78</b>	<b>73</b>	<b>9,771</b>	<b>(6)</b>	<b>11</b>	<b>(585)</b>

## E. Summary of Requirements By Object Class

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	60,938	62,577	60,596	(1,981)
11.3 Other than full-time permanent	7,499	6,417	6,440	23
11.5 Other personnel compensation	2,120	1,710	1,517	(193)
11.8 Special Service Pay	610	437	439	2
12.1 Benefits	19,580	19,359	20,324	965
<b>Total, Personnel and Other Compensation Benefits</b>	<b>90,747</b>	<b>90,500</b>	<b>89,316</b>	<b>(1,184)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5,821	5,132	4,254	(878)
22.0 Transportation of things	90	43	43	-
23.1 GSA rent	10,077	10,077	12,015	1,938
23.2 Other rent	76	75	75	-
23.3 Communications, utilities, and misc. charges	9	15	15	-
24.0 Printing	725	875	525	(350)
25.1 Advisory and assistance services	4,440	2,836	3,429	593
25.2 Other services	2,029	1,583	1,101	(482)
25.3 Purchases from Gov't accts.	19,740	20,048	21,617	1,569
25.4 O&M of facilities	738	445	351	(94)
25.5 R&D of contracts	-	2	2	-
25.6 Medical care	51	41	47	6
25.7 Operation and maintenance of equipment	352	349	293	(56)
26.0 Supplies and materials	910	824	723	(101)
31.0 Equipment	338	314	344	30
32.0 Land & structures	48	-	-	-
<b>Total, Other Object Classes</b>	<b>45,443</b>	<b>42,659</b>	<b>44,834</b>	<b>2,175</b>
<b>Total, Direct Obligations</b>	<b>136,190</b>	<b>133,159</b>	<b>134,150</b>	<b>991</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>136,190</b>	<b>133,159</b>	<b>134,150</b>	<b>991</b>
<b>Full Time Equivalents</b>	<b>706</b>	<b>699</b>	<b>725</b>	<b>26</b>

## F. Permanent Positions by Grade

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

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted	Request	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	57	50	57	7
Total, EX	5	4	4	-
GS-15	203	197	205	8
GS-14	133	147	147	-
GS-13	83	90	91	1
GS-12	70	81	86	5
GS-11	61	68	57	(11)
GS-9	62	57	53	(4)
GS-8	7	7	7	-
GS-7	19	17	13	(4)
GS-5	-	1	1	-
GS-4	6	5	4	(1)
<b>Total Permanent Positions</b>	<b>706</b>	<b>724</b>	<b>725</b>	<b>1</b>
Unfilled Positions EOY	10	-	-	-
Total Permanent Employment EOY	696	701	725	24
Headquarters	698	714	717	3
U.S. Field	1	1	1	-
Foreign Field	7	7	7	-
<b>Total, Office of the Secretary and Executive Management (OSEM):</b>	<b>706</b>	<b>722</b>	<b>725</b>	<b>3</b>
<b>Full Time Equivalents</b>	<b>706</b>	<b>722</b>	<b>725</b>	<b>3</b>
Average ES Salary	158,592	164,293	172,380	8,087
Average GS Salary	104,534	104,534	104,534	-
Average Grade	13	13	13	-

## **G. Capital Investment and Construction Initiative Listing**

N/A



## H. PPA Budget Justifications

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	662	662	665	3
11.3 Other than full-time permanent	509	509	512	3
11.5 Other personnel compensation	14	14	14	-
11.8 Special Service Pay	246	246	247	1
12.1 Benefits	274	274	275	1
<b>Total, Personnel and Compensation Benefits</b>	<b>1,705</b>	<b>1,705</b>	<b>1,713</b>	<b>8</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,339	2,542	1,835	(707)
23.1 GSA rent	321	321	321	-
24.0 Printing	7	7	7	-
25.1 Advisory and assistance services	1	1	1	-
25.2 Other services	34	34	34	-
25.3 Purchases from Gov't accts.	294	294	322	28
25.6 Medical care	3	3	3	-
26.0 Supplies and materials	78	78	44	(34)
31.0 Equipment	15	15	15	-
<b>Total, Other Object Classes</b>	<b>3,092</b>	<b>3,295</b>	<b>2,582</b>	<b>(713)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>4,797</b>	<b>5,000</b>	<b>4,295</b>	<b>(705)</b>
<b>Full Time Equivalents</b>	<b>8</b>	<b>12</b>	<b>12</b>	-

### Immediate Office of the Secretary Mission Statement

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

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	662	662	665	3
11.3 Other than full-time permanent	509	509	512	3
11.5 Other personnel compensation	14	14	14	-
11.8 Special Service Pay	246	246	247	1
12.1 Benefits	274	274	275	1
<b>Total, Salaries &amp; Benefits</b>	<b>1,705</b>	<b>1,705</b>	<b>1,713</b>	<b>8</b>

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2013 request includes an increase of \$8,000 for pay inflation of 0.5%.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$2,339</b>	<b>\$2,542</b>	<b>\$1,835</b>	<b>-\$707</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 travel request includes a decrease of \$707,000 due to a 463,000 general travel and TDY offset and an additional \$245,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$294</b>	<b>\$294</b>	<b>\$322</b>	<b>\$28</b>

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2013 request includes an increase of \$28,000 due to a working capital fund adjustment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$78</b>	<b>\$78</b>	<b>\$44</b>	<b>-\$34</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request includes a decrease of \$34,000 due to management efficiencies.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	489	489	492	3
11.3 Other than full-time permanent	426	426	428	2
11.5 Other personnel compensation	75	75	75	-
12.1 Benefits	253	253	254	1
<b>Total, Personnel and Compensation Benefits</b>	<b>1,243</b>	<b>1,243</b>	<b>1,249</b>	<b>6</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,149	373	373	-
23.1 GSA rent	96	96	96	-
25.1 Advisory and assistance services	26	20	20	-
25.3 Purchases from Gov't accts.	138	138	601	463
25.4 O&M of facilities	6	6	6	-
25.6 Medical care	1	1	1	-
26.0 Supplies and materials	37	39	39	-
31.0 Equipment	3	2	2	-
<b>Total, Other Object Classes</b>	<b>1,456</b>	<b>675</b>	<b>1,138</b>	<b>463</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,699</b>	<b>1,918</b>	<b>2,387</b>	<b>469</b>
<b>Full Time Equivalents</b>	<b>6</b>	<b>8</b>	<b>8</b>	<b>-</b>

**Immediate Office of the Deputy Secretary Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	489	489	492	3
11.3 Other than full-time permanent	426	426	428	2
11.5 Other personnel compensation	75	75	75	-
12.1 Benefits	253	253	254	1

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	489	489	492	3
<b>Total, Salaries &amp; Benefits</b>	<b>1,243</b>	<b>1,243</b>	<b>1,249</b>	<b>6</b>

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY2013 request reflects an increase of \$6,000 for pay inflation of 0.5%.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$138	\$138	\$601	\$463

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2013 request includes an increase of \$463,000 due to a Working Capital Fund adjustment.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	411	411	413	2
11.3 Other than full-time permanent	1,045	791	795	4
11.5 Other personnel compensation	20	20	20	-
12.1 Benefits	420	420	422	2
<b>Total, Personnel and Compensation Benefits</b>	<b>1,896</b>	<b>1,642</b>	<b>1,650</b>	<b>8</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	244	244	244	-
23.1 GSA rent	69	69	69	-
25.2 Other services	13	13	13	-
25.3 Purchases from Gov't accts.	311	311	501	190
25.4 O&M of facilities	1	1	1	-
25.6 Medical care	1	1	1	-
26.0 Supplies and materials	17	17	17	-
31.0 Equipment	2	2	2	-
<b>Total, Other Object Classes</b>	<b>658</b>	<b>658</b>	<b>848</b>	<b>190</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,554</b>	<b>2,300</b>	<b>2,498</b>	<b>198</b>
<b>Full Time Equivalents</b>	<b>18</b>	<b>18</b>	<b>18</b>	-

**Chief of Staff Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	411	411	413	2
11.3 Other than full-time permanent	1,045	791	795	4

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	411	411	413	2
11.5 Other personnel compensation	20	20	20	-
12.1 Benefits	420	420	422	2
<b>Total, Salaries &amp; Benefits</b>	<b>1,896</b>	<b>1,642</b>	<b>1,650</b>	<b>8</b>

Salaries and Benefits funds compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2013 request includes an increase of \$8,000 for 0.5% pay inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$311</b>	<b>\$311</b>	<b>\$501</b>	<b>\$190</b>

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2013 request includes an increase of \$190,000 due to a Working Capital Fund adjustment.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,560	4,219	4,241	22
11.3 Other than full-time permanent	140	140	141	1
11.5 Other personnel compensation	206	206	28	(178)
11.8 Special Service Pay	191	191	192	1
12.1 Benefits	1,353	1,353	1,360	7
<b>Total, Personnel and Compensation Benefits</b>	<b>6,450</b>	<b>6,109</b>	<b>5,962</b>	<b>(147)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2	2	2	-
23.1 GSA rent	634	634	634	-
24.0 Printing	14	14	14	-
25.1 Advisory and assistance services	25	25	25	-
25.2 Other services	67	67	67	-
25.3 Purchases from Gov't accts.	1,036	1,036	1,083	47
25.4 O&M of facilities	67	67	67	-
25.6 Medical care	5	5	5	-
26.0 Supplies and materials	103	103	96	(7)
31.0 Equipment	38	38	38	-
<b>Total, Other Object Classes</b>	<b>1,991</b>	<b>1,991</b>	<b>2,031</b>	<b>40</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>8,441</b>	<b>8,100</b>	<b>7,993</b>	<b>(107)</b>
<b>Full Time Equivalents</b>	<b>58</b>	<b>58</b>	<b>58</b>	-

**Executive Secretary Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	4,560	4,219	4,241	22
11.3 Other than full-time permanent	140	140	141	1



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	4,560	4,219	4,241	22
11.5 Other personnel compensation	206	206	28	(178)
11.8 Special Service Pay	191	191	192	1
12.1 Benefits	1,353	1,353	1,360	7
<b>Total, Salaries &amp; Benefits</b>	<b>6,450</b>	<b>6,109</b>	<b>5,962</b>	<b>(147)</b>

Salaries and Benefits fund for compensation directly related to duties performed for the Executive Leadership and Direction by Federal civilian employees. The FY 2013 request includes an increase of \$31,000 for pay inflation of 0.5%, and a decrease of \$178,000 in management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$1,036</b>	<b>\$1,036</b>	<b>\$1,083</b>	<b>\$47</b>

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2013 request includes an increase of \$47,000 due to a Working Capital Fund adjustment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$103</b>	<b>\$103</b>	<b>\$96</b>	<b>-\$7</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request includes a decrease of \$7,000 due to management efficiencies.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,305	1,280	1,287	7
11.3 Other than full-time permanent	301	275	276	1
11.5 Other personnel compensation	49	47	47	-
12.1 Benefits	459	435	437	2
<b>Total, Personnel and Compensation Benefits</b>	<b>2,114</b>	<b>2,037</b>	<b>2,047</b>	<b>10</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	97	75	47	(28)
23.1 GSA rent	159	159	175	16
25.2 Other services	21	33	33	-
25.3 Purchases from Gov't accts.	340	312	312	-
25.4 O&M of facilities	10	12	12	-
25.6 Medical care	1	2	2	-
26.0 Supplies and materials	23	20	20	-
32.0 Land & structures	36	-	-	-
<b>Total, Other Object Classes</b>	<b>687</b>	<b>613</b>	<b>601</b>	<b>(12)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,801</b>	<b>2,650</b>	<b>2,648</b>	<b>(2)</b>
<b>Full Time Equivalents</b>	<b>27</b>	<b>20</b>	<b>20</b>	<b>-</b>

**Office of Intergovernmental Affairs Mission Statement**

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

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,305	1,280	1,287	7
11.3 Other than full-time permanent	301	275	276	1
11.5 Other personnel compensation	49	47	47	-
12.1 Benefits	459	435	437	2

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,305	1,280	1,287	7
<b>Total, Salaries &amp; Benefits</b>	<b>2,114</b>	<b>2,037</b>	<b>2,047</b>	<b>10</b>

Salaries and Benefits fund compensation directly related to duties performed for the Office of Intergovernmental Affairs (IGA), by Federal civilian employees. The FY2013 request reflects an increase of \$10,000 for pay inflation of 0.5% and a decrease of \$5,000 for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$97	\$75	\$47	-\$28

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY2013 request reflects a decrease of \$28,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$159	\$159	\$175	\$16

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY2013 request reflects an increase of \$16,000 due to an increase for GSA rent payments.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	17,143	18,546	14,082	(4,464)
11.3 Other than full-time permanent	2,335	1,935	1,306	(629)
11.5 Other personnel compensation	655	338	330	(8)
11.8 Special Service Pay	155	-	-	-
12.1 Benefits	5,684	5,650	5,049	(601)
<b>Total, Personnel and Compensation Benefits</b>	<b>25,972</b>	<b>26,469</b>	<b>20,767</b>	<b>(5,702)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	995	920	627	(293)
22.0 Transportation of things	90	43	43	-
23.1 GSA rent	2,250	2,457	2,798	341
23.2 Other rent	12	12	12	-
24.0 Printing	586	587	402	(185)
25.1 Advisory and assistance services	2,934	1,958	1,958	-
25.2 Other services	404	501	172	(329)
25.3 Purchases from Gov't accts.	6,718	6,639	6,540	(99)
25.4 O&M of facilities	76	-	-	-
25.6 Medical care	14	-	-	-
25.7 Operation and maintenance of equipment	349	349	293	(56)
26.0 Supplies and materials	75	65	66	1
31.0 Equipment	29	-	-	-
32.0 Land & structures	12	-	-	-
<b>Total, Other Object Classes</b>	<b>14,544</b>	<b>13,531</b>	<b>12,911</b>	<b>(620)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>40,516</b>	<b>40,000</b>	<b>33,678</b>	<b>(6,322)</b>
<b>Full Time Equivalents</b>	<b>204</b>	<b>194</b>	<b>157</b>	<b>(37)</b>

**Office of Policy Mission Statement**

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

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	17,143	18,546	14,082	(4,464)
11.3 Other than full-time permanent	2,335	1,935	1,306	(629)
11.5 Other personnel compensation	655	338	330	(8)
11.8 Special Service Pay	155	-	-	-
12.1 Benefits	5,684	5,650	5,049	(601)
<b>Total, Salaries &amp; Benefits</b>	<b>25,972</b>	<b>26,469</b>	<b>20,767</b>	<b>(5,702)</b>

Salaries and Benefits fund for compensation directly related to duties performed for the Office of Policy by Federal civilian employees. The FY 2013 request reflects a decrease of \$5,700,000 due to the realignment of 60 FTE to the Private Sector Office (PSO), the Office for State and Local Law Enforcement, and the Office of International Affairs out of the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$995</b>	<b>\$920</b>	<b>\$627</b>	<b>-\$293</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request includes a total decrease of \$293,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$2,250</b>	<b>\$2,457</b>	<b>\$2,798</b>	<b>\$341</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects an increase of \$341,000 due to an increase in GSA rent costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$586</b>	<b>\$587</b>	<b>\$402</b>	<b>-\$185</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request reflects a decrease of \$185,000 to offset increases in GSA Rent.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$404</b>	<b>\$501</b>	<b>\$172</b>	<b>-\$329</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects a decrease of \$329,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$6,718</b>	<b>\$6,639</b>	<b>\$6,540</b>	<b>-\$99</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including intra-agency service requirements. The FY 2013 request reflects a decrease of \$99,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$349	\$349	\$293	-\$56

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects a decrease of \$56,000 to offset increases in GSA rent.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$75	\$65	\$66	\$1

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request reflects a decrease of \$1,000 due to a \$50,000 annualization of the CNE and RMA funds transferred in FY12 and a decrease of \$49,000 due to management efficiencies.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	191	191
11.3 Other than full-time permanent	-	-	630	630
11.5 Other personnel compensation	-	-	2	2
12.1 Benefits	-	-	320	320
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>1,143</b>	<b>1,143</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	5	5
23.1 GSA rent	-	-	170	170
25.3 Purchases from Gov't accts.	-	-	433	433
<b>Total, Other Object Classes</b>	-	-	<b>608</b>	<b>608</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>1,751</b>	<b>1,751</b>
<b>Full Time Equivalents</b>	-	-	<b>11</b>	<b>11</b>

**Private Sector Office Mission Statement**

The Private Sector Office (PSO) is charged with providing America's private sector with a direct line of communication to the Department. PSO works directly with individual businesses and through trade associations and other non-governmental organizations to foster dialogue between the private sector and DHS. PSO functions include: advising the Secretary on the impact of DHS policies, regulations, processes, and actions on the private sector and promoting public private partnerships to address homeland security challenges.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	191	191
11.3 Other than full-time permanent	-	-	630	630
11.5 Other personnel compensation	-	-	2	2
12.1 Benefits	-	-	320	320
<b>Total, Salaries &amp; Benefits</b>	-	-	<b>1,143</b>	<b>1,143</b>

Salaries and Benefits fund compensation directly related to duties performed for the Private Sector Office by Federal civilian employees. The FY2013 request reflects an increase of \$1,143,000 that includes a realignment from the Office of Policy to create the Private Sector Office and an increase of \$10,000 for pay inflation of 0.5%.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	0	\$5	\$5

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$5,000 realigned from the Office of Policy to create the Private Sector Office.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	0	\$170	\$170

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects an increase of \$170,000 realigned from the Office of Policy to create the Private Sector Office.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	0	\$433	\$433

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including intra-agency service requirements. The FY 2013 request reflects an increase of \$433,000 realigned from the Office of Policy to create the Private Sector Office.



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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,143	1,882	1,639	(243)
11.3 Other than full-time permanent	825	821	825	4
11.5 Other personnel compensation	52	52	53	1
12.1 Benefits	831	764	669	(95)
<b>Total, Personnel and Compensation Benefits</b>	<b>3,851</b>	<b>3,519</b>	<b>3,186</b>	<b>(333)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	95	75	42	(33)
23.1 GSA rent	630	630	1,049	419
25.1 Advisory and assistance services	375	150	150	-
25.3 Purchases from Gov't accts.	1,083	1,349	1,517	168
25.4 O&M of facilities	50	46	16	(30)
25.5 R&D of contracts	-	2	2	-
25.6 Medical care	2	4	4	-
26.0 Supplies and materials	21	25	-	(25)
<b>Total, Other Object Classes</b>	<b>2,256</b>	<b>2,281</b>	<b>2,780</b>	<b>499</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>6,107</b>	<b>5,800</b>	<b>5,966</b>	<b>166</b>
<b>Full Time Equivalents</b>	<b>38</b>	<b>32</b>	<b>32</b>	<b>-</b>

**Office of Public Affairs Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,143	1,882	1,639	(243)

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,143	1,882	1,639	(243)
11.3 Other than full-time permanent	825	821	825	4
11.5 Other personnel compensation	52	52	53	1
12.1 Benefits	831	764	669	(95)
<b>Total, Salaries &amp; Benefits</b>	<b>3,851</b>	<b>3,519</b>	<b>3,186</b>	<b>(333)</b>

Salaries and Benefits fund compensation directly related to duties performed for OPA, by Federal civilian employees. The FY2013 request reflects an increase of \$18,000 for pay inflation of 0.5% and a decrease of \$351,000 for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$95</b>	<b>\$75</b>	<b>\$42</b>	<b>-\$33</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request includes a total decrease of \$33,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$630</b>	<b>\$630</b>	<b>\$1,049</b>	<b>\$419</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects an increase of \$419,000 over the FY 2012 level.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$1,083</b>	<b>\$1,349</b>	<b>\$1,517</b>	<b>\$168</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2013 request reflects an increase of \$168,000 for WCF Services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.4 O&amp;M of facilities</b>	<b>\$50</b>	<b>\$46</b>	<b>\$16</b>	<b>-\$30</b>

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects a decrease of \$30,000 for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$21</b>	<b>\$25</b>	<b>0</b>	<b>-\$25</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request reflects a decrease of \$25,000 due to management efficiencies.

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

**Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	3,063	3,074	2,888	(186)
11.3 Other than full-time permanent	468	472	474	2
11.5 Other personnel compensation	67	68	68	-
12.1 Benefits	1,033	1,040	1,045	5
<b>Total, Personnel and Compensation Benefits</b>	<b>4,631</b>	<b>4,654</b>	<b>4,475</b>	<b>(179)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	27	28	15	(13)
23.1 GSA rent	391	391	438	47
23.2 Other rent	18	20	20	-
25.1 Advisory and assistance services	1	4	4	-
25.2 Other services	246	150	112	(38)
25.3 Purchases from Gov't accts.	688	686	942	256
25.4 O&M of facilities	101	35	3	(32)
25.6 Medical care	3	4	4	-
26.0 Supplies and materials	28	28	28	-
31.0 Equipment	42	-	-	-
<b>Total, Other Object Classes</b>	<b>1,545</b>	<b>1,346</b>	<b>1,566</b>	<b>220</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>6,176</b>	<b>6,000</b>	<b>6,041</b>	<b>41</b>
<b>Full Time Equivalent</b>	<b>31</b>	<b>35</b>	<b>35</b>	-

**Office of Legislative Affairs Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	3,063	3,074	2,888	(186)
11.3 Other than full-time permanent	468	472	474	2
11.5 Other personnel compensation	67	68	68	-
12.1 Benefits	1,033	1,040	1,045	5
<b>Total, Salaries &amp; Benefits</b>	<b>4,631</b>	<b>4,654</b>	<b>4,475</b>	<b>(179)</b>

Salaries and Benefits fund compensation directly related to duties performed for the Office of Legislative Affairs by Federal civilian employees. The FY2013 request reflects an increase of \$23,000 for pay inflation of 0.5% and a decrease of \$202,000. This decrease in salaries will be achieved by backfilling attrition at lower grade levels and seeking reimbursable funding for positions that support other DHS components.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$27	\$28	\$15	-\$13

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY2013 request reflects a decrease of \$13,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$391	\$391	\$438	\$47

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY2013 GSA rent request reflects an increase of \$47,000 due to an increase in GSA rent costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$246	\$150	\$112	-\$38

Other services include report contractual services with non-Federal sources that are not otherwise classified under object class 25. The FY2013 request includes a decrease of \$38,000 in management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$688	\$686	\$942	\$256

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY 2013 request reflects an increase of \$256,000 due to a WCF adjustment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$101	\$35	\$3	-\$32

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects a decrease of \$32,000 for management efficiencies.

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

Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	12,035	12,163	12,526	363
11.3 Other than full-time permanent	964	735	738	3
11.5 Other personnel compensation	403	317	318	1
11.8 Special Service Pay	18	-	-	-
12.1 Benefits	3,548	3,304	3,316	12
<b>Total, Personnel and Compensation Benefits</b>	<b>16,968</b>	<b>16,519</b>	<b>16,898</b>	<b>379</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	240	183	173	(10)
23.1 GSA rent	1,721	1,721	2,067	346
23.3 Communications, utilities, and misc. charges	7	-	-	-
24.0 Printing	18	13	13	-
25.1 Advisory and assistance services	1,044	603	603	-
25.2 Other services	376	125	125	-
25.3 Purchases from Gov't accts.	3,019	2,932	1,764	(1,168)
25.4 O&M of facilities	150	-	-	-
25.6 Medical care	7	7	7	-
26.0 Supplies and materials	204	120	120	-
31.0 Equipment	185	177	177	-
<b>Total, Other Object Classes</b>	<b>6,971</b>	<b>5,881</b>	<b>5,049</b>	<b>(832)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>23,939</b>	<b>22,400</b>	<b>21,947</b>	<b>(453)</b>
<b>Full Time Equivalents</b>	<b>131</b>	<b>131</b>	<b>131</b>	-

**Office of General Counsel Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	12,035	12,163	12,526	363
11.3 Other than full-time permanent	964	735	738	3
11.5 Other personnel compensation	403	317	318	1

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	12,035	12,163	12,526	363
11.8 Special Service Pay	18	-	-	-
12.1 Benefits	3,548	3,304	3,316	12
<b>Total, Salaries &amp; Benefits</b>	<b>16,968</b>	<b>16,519</b>	<b>16,898</b>	<b>379</b>

Salaries and Benefits fund for compensation directly related to duties performed for Office of General Counsel (OGC) by Federal civilian employees. The FY2013 request reflects an increase of \$379,000 due to an increase of onboard honor's attorney's and pay inflation of 0.5%.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$240</b>	<b>\$183</b>	<b>\$173</b>	<b>-\$10</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a decrease of \$10,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,721</b>	<b>\$1,721</b>	<b>\$2,067</b>	<b>\$346</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY2013 request reflects an increase of \$346,000 due to an increase for GSA rent payments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$3,019</b>	<b>\$2,932</b>	<b>\$1,764</b>	<b>-\$1,168</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services. The FY2013 request reflects a decrease of \$1,168 due to management efficiencies and to offset GSA rent increases.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	10,712	11,498	11,528	30
11.3 Other than full-time permanent	71	71	71	-
11.5 Other personnel compensation	297	297	298	1
12.1 Benefits	3,138	3,346	3,350	4
<b>Total, Personnel and Compensation Benefits</b>	<b>14,218</b>	<b>15,212</b>	<b>15,247</b>	<b>35</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	312	362	297	(65)
23.1 GSA rent	2,168	2,168	2,439	271
23.2 Other rent	36	35	35	-
24.0 Printing	53	203	57	(146)
25.1 Advisory and assistance services	31	75	75	-
25.2 Other services	173	173	107	(66)
25.3 Purchases from Gov't accts.	3,137	3,901	3,182	(719)
25.4 O&M of facilities	144	144	102	(42)
25.6 Medical care	7	7	7	-
26.0 Supplies and materials	202	202	150	(52)
31.0 Equipment	18	18	18	-
<b>Total, Other Object Classes</b>	<b>6,281</b>	<b>7,288</b>	<b>6,469</b>	<b>(819)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>20,499</b>	<b>22,500</b>	<b>21,716</b>	<b>(784)</b>
<b>Full Time Equivalents</b>	<b>100</b>	<b>111</b>	<b>114</b>	<b>3</b>

**Office for Civil Rights and Civil Liberties Mission Statement**

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

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	10,712	11,498	11,528	30
11.3 Other than full-time permanent	71	71	71	-
11.5 Other personnel compensation	297	297	298	1
12.1 Benefits	3,138	3,346	3,350	4
<b>Total, Salaries &amp; Benefits</b>	<b>14,218</b>	<b>15,212</b>	<b>15,247</b>	<b>35</b>

Salaries and Benefits fund compensation directly related to duties performed for the Office for Civil Rights and Civil Liberties by Federal civilian employees. The FY 2013 request includes an increase of \$76,000 for pay inflation of 0.5%, a pay annualization of \$373,000 for 2.5 FTE for Secure Communities and 287(g) programs, and a program increase of \$135,000 for 1 FTP for Countering Domestic Violent Extremism. Decreases include management efficiencies of \$549,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$312	\$362	\$297	-\$65

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request includes a decrease of \$65,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$2,168	\$2,168	\$2,439	\$271

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects an increase of \$271,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$53	\$203	\$57	-\$146

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request reflects a decrease of \$146,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$173	\$173	\$107	-\$66

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes a decrease of \$66,000 for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$3,137	\$3,901	\$3,182	-\$719



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2013 request includes a WCF increase of \$700,000, a decrease of \$2,746,000 for management efficiencies, and an increase of \$1,327,000 for the Secure Communities and 287(g) programs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$144	\$144	\$102	-\$42

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. FY 2013 includes a decrease of \$42,000 for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$202	\$202	\$150	-\$52

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. FY 2013 includes a decrease of \$52,000 for management efficiencies.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Secretary and Executive Management  
 Citizenship and Immigration Services Ombudsman**

Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,797	3,097	2,723	(374)
11.3 Other than full-time permanent	11	15	15	-
11.5 Other personnel compensation	110	115	113	(2)
12.1 Benefits	856	900	905	5
<b>Total, Personnel and Compensation Benefits</b>	<b>3,774</b>	<b>4,127</b>	<b>3,756</b>	<b>(371)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	140	150	126	(24)
23.1 GSA rent	384	384	465	81
23.2 Other rent	7	8	8	-
23.3 Communications, utilities, and misc. charges	2	15	15	-
24.0 Printing	27	31	19	(12)
25.1 Advisory and assistance services	1	-	-	-
25.2 Other services	109	110	104	(6)
25.3 Purchases from Gov't accts.	1,562	1,206	1,342	136
25.4 O&M of facilities	75	86	86	-
25.6 Medical care	2	3	3	-
25.7 Operation and maintenance of equipment	3	-	-	-
26.0 Supplies and materials	75	80	26	(54)
<b>Total, Other Object Classes</b>	<b>2,387</b>	<b>2,073</b>	<b>2,194</b>	<b>121</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>6,161</b>	<b>6,200</b>	<b>5,950</b>	<b>(250)</b>
<b>Full Time Equivalents</b>	<b>36</b>	<b>35</b>	<b>35</b>	-

**Citizenship and Immigration Services Ombudsman Mission Statement**

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

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,797	3,097	2,723	(374)
11.3 Other than full-time permanent	11	15	15	-
11.5 Other personnel compensation	110	115	113	(2)
12.1 Benefits	856	900	905	5
<b>Total, Salaries &amp; Benefits</b>	<b>3,774</b>	<b>4,127</b>	<b>3,756</b>	<b>(371)</b>

Salaries and Benefits funds compensation directly related to duties performed for the Office of Citizenship & Immigration Ombudsman, by Federal civilian employees. The FY2013 request reflects an increase of \$21,000 for pay inflation of 0.5%, and a decrease of \$391,000 for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$140	\$150	\$126	-\$24

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY2013 request includes a decrease of \$24,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$384	\$384	\$465	\$81

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY2013 request reflects an increase of \$81,000 due to an increase in GSA rent costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$27	\$31	\$19	-\$12

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY2013 printing request includes a decrease of \$12,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$109	\$110	\$104	-\$6

Other services include report contractual services with non-Federal sources that are not otherwise classified under object class 25. The FY2013 request reflects a decrease of \$6,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,562	\$1,206	\$1,342	\$136

Purchases from government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from DHS WCF, DHS Shared Services, and other government agencies including interagency service requirements. The FY2013 request reflects an increase of \$136,000 due to a WCF adjustment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$75	\$80	\$26	-\$54

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY2013 request reflects a decrease of \$54,000 due to management efficiencies.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,289	4,271	4,287	16
11.3 Other than full-time permanent	227	227	229	2
11.5 Other personnel compensation	151	151	151	-
12.1 Benefits	1,306	1,346	1,358	12
<b>Total, Personnel and Compensation Benefits</b>	<b>5,973</b>	<b>5,995</b>	<b>6,025</b>	<b>30</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	100	97	79	(18)
23.1 GSA rent	841	841	591	(250)
24.0 Printing	13	13	13	-
25.1 Advisory and assistance services	1	-	-	-
25.2 Other services	543	324	324	-
25.3 Purchases from Gov't accts.	1,075	1,075	1,209	134
25.4 O&M of facilities	47	48	48	-
25.6 Medical care	4	4	4	-
26.0 Supplies and materials	37	37	37	-
31.0 Equipment	1	57	57	-
<b>Total, Other Object Classes</b>	<b>2,662</b>	<b>2,496</b>	<b>2,362</b>	<b>(134)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>8,635</b>	<b>8,491</b>	<b>8,387</b>	<b>(104)</b>
<b>Full Time Equivalents</b>	<b>34</b>	<b>45</b>	<b>45</b>	-

**Privacy Office Mission Statement**

The Department of Homeland Security's Privacy Office protects the collection, use, and disclosure of personal and Departmental information. The Privacy Office ensures that appropriate access to information is consistent with the vision, mission, and core values of DHS, and implements the policies of the Department to defend and to protect the individual rights, liberties, and information interests of our citizens. Through internal education outreach and the establishment of internal clearance procedures and milestones for program development, the Privacy Office is helping DHS components to consider privacy whenever developing new programs or revising existing ones. The Privacy Office is evaluating the use of new technologies to ensure that privacy protections are given primary consideration in the development and implementation of these new systems. In this process, DHS professionals have become educated about the need to consider - and the framework for considering - the privacy impact of their technology decisions. The Chief Privacy Officer and the staff review Privacy Act system notices before they are sent forward and ensure that they collect only those records that are necessary to support DHS mission. The Privacy Office also guides DHS agencies in developing appropriate privacy policies for their programs and serves as a resource for any questions that may arise concerning privacy, information collection or disclosure.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	4,289	4,271	4,287	16
11.3 Other than full-time permanent	227	227	229	2
11.5 Other personnel compensation	151	151	151	-
12.1 Benefits	1,306	1,346	1,358	12
<b>Total, Salaries &amp; Benefits</b>	<b>5,973</b>	<b>5,995</b>	<b>6,025</b>	<b>30</b>

Salaries and Benefits fund for compensation directly related to duties performed for the Office of Privacy by Federal civilian employees. The FY 2013 request includes an increase of \$30,000 for pay inflation of 0.5%

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$100</b>	<b>\$97</b>	<b>\$79</b>	<b>-\$18</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2012 request includes a reduction of \$18,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$841</b>	<b>\$841</b>	<b>\$591</b>	<b>-\$250</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. GSA Rent is paid centrally by Working Capital Fund. The FY 2013 request includes a general rent decrease of \$250,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$1,075</b>	<b>\$1,075</b>	<b>\$1,209</b>	<b>\$134</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF and DHS Shared Services. The FY 2013 request includes an increase of \$134,000 related to the physical move of the Privacy Office in FY 2013.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,329	985	-	(985)
11.3 Other than full-time permanent	177	-	-	-
11.5 Other personnel compensation	21	10	-	(10)
12.1 Benefits	425	274	-	(274)
<b>Total, Personnel and Compensation Benefits</b>	<b>1,952</b>	<b>1,269</b>	-	<b>(1,269)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	81	81	-	(81)
23.1 GSA rent	413	206	-	(206)
23.2 Other rent	3	-	-	-
24.0 Printing	7	7	-	(7)
25.1 Advisory and assistance services	1	-	-	-
25.2 Other services	43	53	-	(53)
25.3 Purchases from Gov't accts.	339	169	-	(169)
25.4 O&M of facilities	11	-	-	-
25.6 Medical care	1	-	-	-
26.0 Supplies and materials	10	10	-	(10)
31.0 Equipment	4	5	-	(5)
<b>Total, Other Object Classes</b>	<b>913</b>	<b>531</b>	-	<b>(531)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,865</b>	<b>1,800</b>	-	<b>(1,800)</b>
<b>Full Time Equivalents</b>	<b>15</b>	-	-	-

**Office of Counternarcotics Enforcement Mission Statement**

Starting in FY2012, The Office of Counternarcotics Enforcement (CNE) will be consolidated into the Office of Policy (PLCY) to fulfill the role of overseeing the Department of Homeland Security's efforts to secure the borders against the flow of illegal drugs and to protect the U.S. against drug-related criminal enterprises.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,329	985	-	(985)
11.3 Other than full-time permanent	177	-	-	-
11.5 Other personnel compensation	21	10	-	(10)
12.1 Benefits	425	274	-	(274)

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,329	985	-	(985)
<b>Total, Salaries &amp; Benefits</b>	<b>1,952</b>	<b>1,269</b>	<b>-</b>	<b>(1,269)</b>

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$81	\$81	0	-\$81

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$413	\$206	0	-\$206

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$7	\$7	0	-\$7

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$43	\$53	0	-\$53

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$339	\$169	0	-\$169

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$10	\$10	0	-\$10

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$4	\$5	0	-\$5

In FY2012 the Office of Counternarcotics Enforcement was transferred to the Office of Policy.



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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	457	457
12.1 Benefits	-	-	198	198
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>655</b>	<b>655</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	38	38
23.1 GSA rent	-	-	75	75
25.1 Advisory and assistance services	-	-	8	8
25.2 Other services	-	-	10	10
25.3 Purchases from Gov't accts.	-	-	104	104
25.6 Medical care	-	-	2	2
<b>Total, Other Object Classes</b>	-	-	<b>237</b>	<b>237</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>892</b>	<b>892</b>
<b>Full Time Equivalents</b>	-	-	<b>5</b>	<b>5</b>

**Office for State and Local Law Enforcement Mission Statement**

The mission of OSLLE is to formulate and coordinate national-level policy relating to law enforcement's role in preventing acts of terrorism, and serve as the primary Department liaison with state, local, and tribal law enforcement agencies.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	457	457
12.1 Benefits	-	-	198	198
<b>Total, Salaries &amp; Benefits</b>	-	-	<b>655</b>	<b>655</b>

Salaries and Benefits fund compensation directly related to duties performed for the Private Sector Office by Federal civilian employees. The FY2013 request reflects an increase of \$655,000 funded by a realignment from the Office of Policy to create the Office for State and Local Law Enforcement and \$3,000 for pay inflation of 0.5%.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	0	\$38	\$38

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$38,000 realigned from the Office of Policy to cover travel expenses.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	0	\$75	\$75

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects an increase of \$75,000 realigned from the Office of Policy to create the Office for State and Local Law Enforcement.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	0	\$8	\$8

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY2013 request reflects an increase of \$8,000 realigned from the Office of Policy to create the Office for State and Local Law Enforcement.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	0	\$10	\$10

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY2013 request reflects an increase of \$10,000 realigned from the Office of Policy to create the Office for State and Local Law Enforcement.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	0	\$104	\$104

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including intra-agency service requirements. The FY2013 request reflects an increase of \$104,000 realigned from the Office of Policy to create the Office for State and Local Law Enforcement.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	0	0	\$2	\$2

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY2013 request reflects an increase of \$2,000 realigned from the Office of Policy to create the Office for State and Local Law Enforcement.

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	3,177	3,177
12.1 Benefits	-	-	1,366	1,366
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>4,543</b>	<b>4,543</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	351	351
23.1 GSA rent	-	-	628	628
25.1 Advisory and assistance services	-	-	585	585
25.3 Purchases from Gov't accts.	-	-	1,765	1,765
25.4 O&M of facilities	-	-	10	10
25.6 Medical care	-	-	4	4
26.0 Supplies and materials	-	-	80	80
31.0 Equipment	-	-	35	35
<b>Total, Other Object Classes</b>	-	-	<b>3,458</b>	<b>3,458</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>8,001</b>	<b>8,001</b>
<b>Full Time Equivalents</b>	-	-	<b>44</b>	<b>44</b>

**Office of International Affairs Mission Statement**

The Office of International Affairs (OIA) will report directly to the Secretary and will lead, coordinate, and integrate the Department's interaction with its international partners, and develop and oversee implementation of the Department's international engagement strategy. The Office of International Affairs will oversee visa waive negotiations via the Visa Waiver Program Office.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	3,177	3,177
12.1 Benefits	-	-	1,366	1,366
<b>Total, Salaries &amp; Benefits</b>	-	-	<b>4,543</b>	<b>4,543</b>

Salaries and Benefits fund compensation directly related to duties performed for the Private Sector Office by Federal civilian employees. The FY2013 request reflects an increase of \$4,543,000 that includes a realignment from the Office of Policy to create the Office of International Affairs and \$23,000 for pay inflation of 0.5%.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	0	\$351	\$351

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$351,000 realigned from the Office of Policy to cover travel expenses.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	0	\$628	\$628

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects an increase of \$628,000 realigned from the Office of Policy to create the Office of International Affairs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	0	\$585	\$585

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY2013 request reflects an increase of \$585,000 realigned from the Office of Policy to create the Office of International Affairs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	0	\$1,765	\$1,765

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from the DHS WCF, DHS Shared Services, and other government agencies including intra-agency service requirements. The FY2013 request reflects an increase of \$1,765,000 realigned from the Office of Policy to create the Office of International Affairs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	0	0	\$10	\$10

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY2013 request reflects an increase of \$10,000 realigned from the Office of Policy to create the Office of International Affairs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	0	0	\$4	\$4

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY2013 request reflects an increase of \$4,000 realigned from the Office of Policy to create the Office of International Affairs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	0	0	\$80	\$80

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c ) used to form a minor part of equipment or property, or other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY2013 request reflects an increase of \$80,000 realigned from the Office of Policy to create the Office of International Affairs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	0	0	\$35	\$35

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY2013 request reflects an increase of \$35,000 realigned from the Office of Policy to create the Office of International Affairs.

## I. Changes in Full Time Equivalent

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>641</b>	<b>706</b>	<b>722</b>
<b>Increases</b>			
Office of Executive Secretary	10	-	-
Citizenship and Immigration Ombudsman	8	-	-
<b>Civil Rights and Civil Liberties</b> – Program Increase of 3 FTEs for Countering Domestic Violent Extremism and 287(g)/Secure Communities	23	13	3
Privacy Office	-	11	-
Immediate Office of the Secretary	1	4	-
Office of Legislative Affairs	-	4	-
Office of Chief of Staff	1	-	-
Office of Intergovernmental Affairs	14	-	-
Office of Public Affairs	7	-	-
Office of the General Counsel	7	-	-
Office of Policy	-	28	-
Office of the Deputy Secretary	-	2	-
<b>Office for State and Local Enforcement</b> – Realignment of FTEs from Policy to OSLE	-	-	5
<b>Private Sector Office</b> – Realignment of FTEs from Policy to PSO	-	-	11
<b>Office of International Affairs</b> – Realignment of FTEs from Policy to OIA	-	-	44
<b>Subtotal, Increases</b>	<b>71</b>	<b>62</b>	<b>63</b>
<b>Decreases</b>			
Privacy Office	(3)	-	-
Counternarcotics Enforcement	(1)	(15)	-
Office of Legislative Affairs	(2)	-	-
Office of Intergovernmental Affairs	-	(7)	-
Office of the General Counsel	-	(6)	-
<b>Office of Policy</b> – Realignment of FTEs from Policy to PSO, OSLE, and OIA	-	(17)	(60)
Office of Citizenship & Immigration Ombudsman	-	(1)	-
<b>Subtotal, Decreases</b>	<b>(6)</b>	<b>(46)</b>	<b>(60)</b>
<b>Year End Actual Obligations/Estimated FTEs:</b>	<b>706</b>	<b>722</b>	<b>725</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>65</b>	<b>16</b>	<b>3</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Chief of Staff	\$348	\$380	\$416	\$36
Citizenship and Immigration Services Ombudsman	948	1,024	1,370	346
Executive Secretary	1,513	1,670	1,717	47
Immediate Office of the Deputy Secretary	220	234	251	17
Immediate Office of the Secretary	587	615	643	28
Office for Civil Rights and Civil Liberties	3,991	4,426	5,126	700
Office of Counternarcotics Enforcement	719	375	435	60
Office of General Counsel	3,851	4,490	3,746	(744)
Office of Intergovernmental Affairs	430	471	528	57
Office of Legislative Affairs	1,011	1,079	1,380	301
Office of Policy	6,338	7,114	7,803	689
Office of Public Affairs	1,603	1,683	2,270	587
Privacy Office	1,563	1,654	1,538	(116)
<b>Total Working Capital Fund</b>	<b>23,122</b>	<b>25,215</b>	<b>27,223</b>	<b>2,008</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

OSEM requests \$0.0 and 0 FTE for the FY 2013 DHS Balanced Workforce Strategy.



Position Type	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
<b>CRCL</b>												
Program Analyst	2	2	-	-	-	-	-	-	-	-	2	2
Program Assistant	1	1	-	-	-	-	-	-	-	-	1	1
Admin. Assistant	1	1	-	-	-	-	-	-	-	-	1	1
Executive Administrator	3	3	-	-	-	-	-	-	-	-	3	3
Technology Analyst	1	1	-	-	-	-	-	-	-	-	1	1
HQ EEO Specialist	1	1	-	-	-	-	-	-	-	-	1	1
Operations Analyst	1	1	-	-	-	-	-	-	-	-	1	1
<b>Total</b>	<b>10</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>10</b>	<b>10</b>

**FY 2013 DHS Balanced Workforce Strategy**

OSEM does not plan to convert any contractors in FY 2013.

**Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

OSEM does not require funding for the annualization of the conversions.

**DHS Balanced Workforce Strategy Follow-On**

- N/A

# Department of Homeland Security

*Departmental Management and Operations*  
*Under Secretary for Management*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Departmental Management and Operations Under Secretary for Management**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and expenses:**

##### **Mission Statement**

The Management Directorate ensures delivery of effective and efficient business and management services throughout the Department, to enable the Department to achieve its mission to lead the unified national effort to secure America. It does so by providing policy, guidance, operational oversight and support, and innovative solutions for the management needs of the entire Department.

#### **B. Budget Activities:**

##### Departmental Management and Operations (DMO)

In addition to the specific organizations of the Management Directorate, DMO also includes the Office of the Chief Financial Officer (OCFO), the Office of the Chief Information Officer (OCIO), the DHS HQ Consolidation Project, and the Office of the Secretary and Executive Management (OSEM).

##### Immediate Office of the Under Secretary for Management

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

##### Office of the Chief Administrative Officer

The Office of the Chief Administrative Officer (OCAO) provides mission support to operating Components by establishing policy and procedures as well as providing both Departmental leadership and oversight for all functional areas managed by the DHS CAO and Component Chief Administrative Officers. Functional areas include real estate, personal property, logistics, motor vehicle fleet, mail screening and delivery, environmental planning and management, historic preservation, and energy management. In addition, OCAO also provides the day to day operational support for Departmental Headquarters (HQ) and other HQ Components.

##### DHS Nebraska Avenue Complex Consolidation Project

The Nebraska Avenue Complex (NAC) currently serves as the headquarters facility for DHS, as well as the location for additional mission support functions. DHS continues to invest in this property to sustain our overall operational capabilities. The NAC investments will be leveraged as the Department

realigns the overall real estate portfolio to support the integration of DHS operations in the National Capital Region.

#### Office of the Chief Human Capital Officer

The Office of the Chief Human Capital Officer provides overall management and administration for the Department's human capital policies, programs, and practices for attracting, retaining, and developing the skilled workforce needed to protect and secure our Nation. The work of the OCHCO is critical to supporting and enabling the Secretary's workforce strategy, which centers around four key goals: 1) Building an effective, mission-focused, diverse and inspiring cadre of leaders; 2) Recruiting a highly qualified and diverse workforce; 3) Retaining an engaged workforce; and 4) Solidifying a unified DHS culture of mission performance, adaptability, accountability, and results.

#### Human Resources Information Technology

The DHS Chief Human Capital Officer (CHCO) and Component Human Capital Executives in partnership with the Office of the Chief Information Officer (OCIO) are currently redefining a long-term strategic plan for Human Resources Information Technology (HRIT). The new strategy will deliver an enterprise platform for a Title V environment that provides core HR functionality and data access across the DHS enterprise in a way that optimizes efficiency. An optimized solution must also address system shortcomings and limitations of the National Finance Center's (NFC) Pay and Personnel System. While DHS currently operates four enterprise solutions – NFC Corporate (Payroll/Personnel), EmpowHR (Personnel), webTA (Time and Attendance), and the eOPF (Electronic Personnel Folders) – there remains a critical need for enterprise solutions in areas such as staffing, learning management, performance management and personnel accountability for continued operations in the event of a declared emergency.

#### Office of the Chief Procurement Officer

The Office of the Chief Procurement Officer (OCPO) is responsible for the overall management, administration, and oversight of Department-wide acquisition, financial assistance, strategic sourcing, and competitive sourcing programs, including direct management and oversight of the Office of Procurement Operations. OCPO activities include acquisition support and oversight, strategic initiatives, and small and disadvantaged business utilization.

#### Office of the Chief Security Officer

The Office of the Chief Security Officer (OCSO) leads the collaborative security program to safeguard DHS people, information, and property so that the Department can secure the Homeland. The office develops, implements, and oversees the Department's security policies, programs, and standards; delivers security training and education to DHS personnel; and provides security support to DHS Components. The office manages operational security systems and HSPD-12 card issuance for the Department. Additionally, the OCSO provides liaison support to the intelligence community on security matters affecting DHS and investigates security matters for DHS Headquarters.

### **C. Budget Request Summary:**

The Under Secretary for Management (USM) requests 902 positions, 902 FTE and \$221.771 million for FY 2013. This is a net decrease of \$13.816 million from the FY 2012 enacted level. The USM adjustment-to-base includes:

- Increase of \$0.538M for FY 2013 pay increase.
- Increase of 14 FTE and \$2.011M for annualizations of prior year enhancements.
- Increase of \$4.927M for GSA rent.
- Increase of \$0.160M for Working Capital Fund (WCF) adjustments.
- Decrease of \$15.398M for Management Efficiencies.
- Decrease of \$4.492M for the offset to OCFO FSM.
- Decrease of \$2.010M for the transfer of functions from OCAO to OCIO.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Under Secretary for Management (USM):  
Summary of FY 2013 Budget Estimates by Program Project Activity**

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Immediate Office of the Under Secretary for Management	15	13	2,702	15	15	2,550	17	17	3,112	2	2	562	-	-	-	2	2	562
Office of the Chief Administrative Officer	87	87	42,996	139	139	40,700	124	124	35,117	(15)	(15)	(5,583)	-	-	-	(15)	(15)	(5,583)
DHS HQ NAC Project	-	-	5,902	-	-	5,000	-	-	5,448	-	-	448	-	-	-	-	-	448
Office of the Chief Human Capital Officer	113	113	24,440	118	118	25,165	122	122	25,971	4	4	806	-	-	-	4	4	806
HRIT	17	17	15,491	27	27	14,172	27	27	9,689	-	-	(4,483)	-	-	-	-	-	(4,483)
Office of the Chief Procurement Officer	354	353	74,298	359	349	78,000	359	359	73,176	-	10	(4,824)	-	-	-	-	10	(4,824)
Office of the Chief Security Officer	259	235	71,690	253	249	70,000	253	253	69,258	-	4	(742)	-	-	-	-	4	(742)
<b>Subtotal, Discretionary</b>	<b>845</b>	<b>818</b>	<b>237,519</b>	<b>911</b>	<b>897</b>	<b>235,587</b>	<b>902</b>	<b>902</b>	<b>221,771</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>
<b>Total, Office of the Under Secretary for Management (USM):</b>	<b>845</b>	<b>818</b>	<b>237,519</b>	<b>911</b>	<b>897</b>	<b>235,587</b>	<b>902</b>	<b>902</b>	<b>221,771</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>845</b>	<b>818</b>	<b>237,519</b>	<b>911</b>	<b>897</b>	<b>235,587</b>	<b>902</b>	<b>902</b>	<b>221,771</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>845</b>	<b>818</b>	<b>237,519</b>	<b>911</b>	<b>897</b>	<b>235,587</b>	<b>902</b>	<b>902</b>	<b>221,771</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>

### III. Current Services Program Description by PPA

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

**PPA: Immediate Office of the Under Secretary for Management**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>15</b>	<b>13</b>	<b>2,702</b>
<b>2012 Enacted Budget Authority</b>	<b>15</b>	<b>15</b>	<b>2,550</b>
2013 Adjustments-to-Base	2	2	562
<b>2013 Current Services</b>	<b>17</b>	<b>17</b>	<b>3,112</b>
<b>2013 Total Requested Budget Authority</b>	<b>17</b>	<b>17</b>	<b>3,112</b>
Total Change 2012 to 2013	2	2	562

The Immediate Office of the Under Secretary for Management (OUSM) requests 17 FTP, 17 FTE, and \$3.112 million for FY 2013. This is a net increase of \$0.562 million from the FY 2012 enacted level. The OUSM adjustment-to-base includes:

- Increase of 2 FTP/2 FTE and \$0.441M for the transfer of the Directives function from OCAO to OUSM.
- Increase of \$12K for FY 2013 pay increase.
- Increase of \$49K for GSA rent.
- Increase of \$160K for Working Capital Fund (WCF) adjustments.
- Decrease of \$100K for Management Efficiencies.
  - Decrease of \$6K for General TDY and Travel.
  - Decrease of \$45K for Purchasing Saving.
  - Decrease of \$1K for Overtime.
  - Decrease of \$14K for DHS Strategic Sourcing Initiatives.
  - Decrease of \$1K for HQ Admin Efficiency.
  - Decrease of \$33K through efficiencies (to include Other Services and Supplies).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OUSM ensures the offices within the Management Directorate function effectively and efficiently in support of the Department as a whole as well as the Management Directorate line-of-business offices.



The requested funding will allow the OUSM to: manage the workload of the Management Directorate offices; respond quickly to queries from within and outside the Department; further DHS efforts for functional integration; and identify and track performance measurements relating to the responsibilities of the Department.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 Office of the Chief Administrative Officer  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office of the Chief Administrative Officer**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>87</b>	<b>87</b>	<b>42,996</b>
<b>2012 Enacted Budget Authority</b>	<b>139</b>	<b>139</b>	<b>40,700</b>
2013 Adjustments-to-Base	(15)	(15)	(5,583)
<b>2013 Current Services</b>	<b>124</b>	<b>124</b>	<b>35,117</b>
<b>2013 Total Requested Budget Authority</b>	<b>124</b>	<b>124</b>	<b>35,117</b>
Total Change 2012 to 2013	(15)	(15)	(5,583)

The Office of the Chief Administrative Officer (OCAO) requests 124 FTP, 124 FTE, and \$35.117 million for FY 2013. This is a net decrease of \$5.583 million from the FY 2012 enacted level. OCAO adjustment-to-base includes:

- Decrease of \$4.269M to realign appropriate functions and personnel to other management offices.
- Increase of \$55K for FY 2013 pay increase.
- Increase of \$1.508M for GSA rent.
- Decrease of \$2.877M for Management Efficiencies.
  - Decrease of \$11K for General TDY and Travel.
  - Decrease of \$1.036 for Purchase Savings.
  - Decrease of \$53K for DHS Strategic Sourcing Initiatives.
  - Decrease of \$19,000 of Vehicles
  - Decrease of \$1.511M through efficiencies (to include Advisory and Assistance Services and Other Services).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The primary mission and purpose of the OCAO is to provide Department level mission support to the operating Components through effective policy and guidance, business process, resource management, technical assistance, and oversight for efficient administrative services Department-wide, and direct operational support and services to Headquarters Components including NPPD, I&A, Operations, DNDO, and S&T. Functional areas include real estate, personal property, logistics, motor vehicle

fleet, mail screening and delivery, environmental planning and management, historic preservation, and energy management.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 DHS HQ NAC Project  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: DHS HQ NAC Project**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>5,902</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>5,000</b>
2013 Adjustments-to-Base	-	-	448
<b>2013 Current Services</b>	-	-	<b>5,448</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>5,448</b>
Total Change 2012 to 2013	-	-	448

The DHS Headquarters Project at the Nebraska Avenue Complex (NAC) requests \$5.448 million for FY 2013. This is an increase of \$0.448 million over the FY 2012 enacted level. This funding request includes an adjustment-to-base of \$448K for ongoing NAC improvements, including the reconfiguration of space in several NAC buildings to increase utilization and to implement the Department’s Mobile Workforce Design.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The NAC currently serves as the headquarters facility for DHS. The NAC and other current locations continue to operate at nearly full capacity in order to meet the Department’s current space demands. DHS long-range plans include the retention of this property as one of the consolidated locations. Accordingly, DHS will need to continue to invest in this property to sustain our operational capabilities in order to use as one of the sites for DHS Components within the NCR. The NAC investments will be leveraged as the overall real estate portfolio is realigned to support DHS operations and integration in the NCR. In FY 2013, the Department will undertake and complete the following projects at the NAC:

- Planning and implementation for upgrades and reconfigurations of space – to support changing mission requirements – and any moves to and from consolidated locations that would change the composition of Components at the NAC.
- Continue Electrical and HVAC utility upgrades, back-up generators, along with ongoing maintenance painting and carpet replacement of DHS spaces.
- Reconfiguration of spaces in several NAC buildings to increase utilization and to implement Mobile Workforce Design.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 Office of the Chief Human Capital Officer  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office of the Chief Human Capital Officer**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>113</b>	<b>113</b>	<b>24,440</b>
<b>2012 Enacted Budget Authority</b>	<b>118</b>	<b>118</b>	<b>25,165</b>
2013 Adjustments-to-Base	4	4	806
<b>2013 Current Services</b>	<b>122</b>	<b>122</b>	<b>25,971</b>
<b>2013 Total Requested Budget Authority</b>	<b>122</b>	<b>122</b>	<b>25,971</b>
Total Change 2012 to 2013	4	4	806

The Office of the Chief Human Capital Officer (OCHCO) requests 122 FTP, 122 FTE, and \$25.971 million for FY 2013. This is a net increase of \$0.806 million from the FY 2012 enacted level.

OCHCO adjustment-to-base includes:

- Increase of 4 FTE/4 FTE and \$1.818M for the realignment of the Safety function from OCAO to OCHCO.
- Increase of \$82K for FY 2013 pay increase.
- Increase of \$752K for GSA rent.
- Decrease of \$1.846M for Management Efficiencies.
  - Decrease of \$33K for General TDY and Travel.
  - Decrease of \$5K for Purchasing Savings.
  - Decrease of \$2K for Overtime.
  - Decrease of \$77K for DHS Strategic Sourcing Initiatives.
  - Decrease of \$1.729M through efficiencies (to include Other Services and Purchase from Government Accounts).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OCHCO provides overall management and administration of the Department’s human capital policies, programs, and practices for attracting, retaining, and developing the skilled workforce needed to protect and secure our Nation. The future of this Department rests on the shoulders of our current and future leaders and requires participation from all DHS employees. DHS must build a strategic workforce planning capability to serve as the foundation for a balanced workforce and build a pipeline

of talent to ensure the continued development, recognition, and advancement of our current workforce. The OCHCO is committed to implementing the Secretary's Workforce Strategy, which outlines the human capital goals of the Department, and developing and implementing plans to address the inherent complexities and significant challenges the Department continues to face.

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

**PPA: HRIT**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>17</b>	<b>17</b>	<b>15,491</b>
<b>2012 Enacted Budget Authority</b>	<b>27</b>	<b>27</b>	<b>14,172</b>
2013 Adjustments-to-Base	-	-	(4,483)
<b>2013 Current Services</b>	<b>27</b>	<b>27</b>	<b>9,689</b>
<b>2013 Total Requested Budget Authority</b>	<b>27</b>	<b>27</b>	<b>9,689</b>
Total Change 2012 to 2013	-	-	(4,483)

The Human Resources Information Technology (HRIT) requests 27 FTP, 27 FTE, and \$9.689 million for FY 2013. This is a net decrease of \$4.483 million from the FY 2012 enacted level. HRIT adjustment-to-base includes:

- Decrease of \$4.5M to offset funding for OCFO to fund high priority Financial Systems Modernization.
- Increase of \$9K for FY 2013 pay increase.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

HRIT supports the overall Mission of the Human Capital Business Systems (HCBS) portfolio to implement and manage a consolidated suite of modernized human resource information technology business solutions by means of leveraging current enterprise solutions, reducing redundancies, and increasing the functionality of HR systems across the Enterprise. HRIT funds plan for, acquire, configure, and implement Commercial off-the-Shelf/Government off-the-Shelf (COTS/GOTS) packages and eGOV/Human Resources Line-of-Business (eGov/HRLoB) shared services to consolidate, modernize, and/or replace HRIT systems at the Enterprise-level. The program is governed by the HRIT Executive Steering Committee (HRIT ESC), established per Deputy Secretary guidance, including oversight of a Human Capital Segment Architecture (HCSA) study. The goal of the study is to develop and implement a new strategy to deliver a more efficient consolidated suite of Enterprise-level HRIT solutions that will provide core HR functionality and data access across the DHS Enterprise. HCBS completed the study in FY 2011 and will develop a plan to initiate implementation of high priority Strategic Investment Opportunities (SIOs) in FY 2012.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 Office of the Chief Procurement Officer  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office of the Chief Procurement Officer**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>354</b>	<b>353</b>	<b>74,298</b>
<b>2012 Enacted Budget Authority</b>	<b>359</b>	<b>349</b>	<b>78,000</b>
2013 Adjustments-to-Base	-	10	(4,824)
<b>2013 Current Services</b>	<b>359</b>	<b>359</b>	<b>73,176</b>
<b>2013 Total Requested Budget Authority</b>	<b>359</b>	<b>359</b>	<b>73,176</b>
Total Change 2012 to 2013	-	10	(4,824)

The Office of the Chief Procurement Officer (OCPO) requests 359 FTP, 359 FTE, and \$73.176 million for FY 2013. This is a net decrease of \$4.824 million from the FY 2012 enacted level. OCPO adjustment-to-base includes:

- Increase of \$217K for FY 2013 pay increase.
- Increase of 10 FTE and \$1.572M for the annualization of prior year enacted enhancements to the acquisition workforce for cost estimators, and the Program Accountability and Risk Management (PARM) division of OCPO.
- Increase of \$2.061M for GSA rent.
- Decrease of \$8.674M for Management Efficiencies.
  - Decrease of \$46K for General TDY and Travel.
  - Decrease of \$789K of Purchasing Savings.
  - Decrease of \$35K for DHS Strategic Sourcing Initiatives.
  - Decrease of \$7. 804M for efficiencies (to include Printing, Advisory and Assistance Services, Other Services, and Supplies).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OCPO activities include acquisition support and oversight, strategic initiatives, and utilization of small and disadvantaged businesses as described below.

Acquisition Support and Oversight



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

#### Strategic Initiatives

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

#### Office of Small and Disadvantaged Business Utilization (OSDBU)

- In support of the Small Business Act to maximize small business procurement opportunities, the OSDBU assists, counsels, and advises small businesses of all types on procedures for contracting with the DHS. Additionally, the OSDBU works closely with each Departmental organizational element to implement the Department's small business procurement assistance program.

A major management priority for OCPO in FY 2013 is the continued improvement of the DHS acquisition process. The Under Secretary for Management is leading an effort to improve the overall acquisition process, namely strengthening the early requirements development process and enhancing our ability to manage the implementation and execution of acquisition programs. The establishment and institutionalization of MD-102-01 and the Management Directorate's Acquisition Program Management Division (APMD) have been instrumental in helping the Department establish a foundation of acquisition practices to govern how to manage DHS acquisition investments.

OCPO has enhanced the Department's acquisition workforce by focusing on hiring systems engineers, program managers, logisticians and business cost estimators to ensure operational requirements are properly developed and provide greater oversight and accountability. This is consistent with previous recommendations from the Government Accountability Office (GAO), the Office of the Inspector General (OIG), and the Office of Management and Budget (OMB). OCPO continues managing the Acquisition Professional Career Program (APCP) to improve acquisition performance while providing effective governance and focused support to DHS's acquisition initiatives by providing experience and training to a corps of acquisition interns necessary to equip them to become journeymen-level acquisition professionals. OCPO is now fully utilizing sound and credible Life Cycle Cost Estimating

best practices within DHS acquisition programs. OCPO will continue its focus on strengthening the capabilities of the acquisition workforce through training and development initiatives, information technology enhancements, and acquisition management improvements consistent with the DHS acquisition human capital plan. OCPO continues its improvement to acquisition execution across the acquisition portfolio by ensuring key expertise resides in major programs and oversight staffs throughout the Department. OCPO has worked to increase the size of the Department's acquisition workforce, leading to better managed programs that meet cost, schedule, and performance goals. OCPO is investing \$6.8M in training programs to close specific gaps in such areas as source selection, logistics, and contract management, and to update selected tiers of coursework for contracting specialists, program management, business cost estimating, and contracting officer's technical representative (COTR) course offerings. OCPO will make targeted investments in existing systems that track and identify the acquisition workforce. With this additional management capacity, the Department will further solidify acquisition management leadership teams to help mitigate risk in daily program execution, and better determine how each program team should evolve to meet future needs.

In FY 2013, OCPO intends to continue workforce development in critical mission support programs such as strategic sourcing, acquisition program management, and cost estimating across the Department.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 Office of the Chief Security Officer  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office of the Chief Security Officer**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>259</b>	<b>235</b>	<b>71,690</b>
<b>2012 Enacted Budget Authority</b>	<b>253</b>	<b>249</b>	<b>70,000</b>
2013 Adjustments-to-Base	-	4	(742)
<b>2013 Current Services</b>	<b>253</b>	<b>253</b>	<b>69,258</b>
<b>2013 Total Requested Budget Authority</b>	<b>253</b>	<b>253</b>	<b>69,258</b>
Total Change 2012 to 2013	-	4	(742)

The Office of the Chief Security Officer (OCSO) requests 253 FTP, 253 FTE, and \$69.258 million for FY 2013. This is a net decrease of \$0.742 million from the FY 2012 enacted level. OCSO adjustment-to-base includes:

- Increase of \$163K for FY 2013 pay increase.
- Increase of 4 FTE and \$439K for the annualization of prior year enacted enhancements for the State, Local, Tribal and Private Sector (SLTPS), Security Management Division (SMD).
- Increase of \$557K for GSA rent.
- Decrease of \$1.901M for Management Efficiencies.
  - Decrease of \$3K for TDY and Travel.
  - Decrease of \$585K for Purchasing Saving.
  - Decrease of \$54K for Overtime.
  - Decrease of \$26K for DHS Strategic Sourcing Initiatives.
  - Decrease of \$59K for Vehicles.
  - Decrease of \$1.174M through efficiencies (to include Advisory and Assistance Services, Other Services, and Purchase from Government Accounts).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OCSO provides security personnel trained to lead, govern, integrate, and manage the security functions of the Department. The Chief Security Officer serves as the chair of the DHS CSO Council, in consultation with the head security officials for each Component. OCSO provides security solutions in support of DHS missions and objectives, and implements Department-wide security programs,

policies, and standards to effectively and efficiently safeguard DHS personnel, property, facilities, and information.

OCSO directly provides security services to the Components and offices within the DHS HQ organization. OCSO delivers effective business security support services to each Component of the DHS HQ organization through the integration of the following security disciplines:

- Administrative Security – implements and oversees policies, programs, and standards necessary to ensure the protection of collateral classified and sensitive but unclassified information; creates self-inspection programs that ensure classified and sensitive information is protected; and safeguards information for DHS, State and local fusion centers, major metropolitan police departments, and State emergency operations centers.
- Internal Security and Investigations – administers security audits, inspections, and investigations involving alleged crimes against DHS or its employees, and allegations of illegal activities by DHS personnel; provides investigative and liaison support to the intelligence community on security matters affecting DHS; and investigates security matters for DHS Headquarters.
- Special Security Programs – provides security policy oversight and programs to protect Sensitive Compartmented Information (SCI) and information received from the intelligence community; provides administrative, industrial, and operation security; delivers security education and training.
- Physical Security – manages and implements physical security policies, programs, and standards for DHS facilities; provides access control, physical barriers, surveillance equipment, and contract security forces.
- Personnel Security – provides personnel security and suitability policies, programs, and standards, including procedures for granting, denying, and revoking access to classified information; initiates and adjudicates personnel security and suitability background investigations and periodic reinvestigations of applicants and appointees.
- Systems Security – manages, supports, and coordinates the OCSO systems and related processes, and collaborates with the OCIO to secure the OCSO proprietary operational systems.
- Identity Management – implements the Homeland Security Presidential Directive 12 (HSPD-12) requirement for a common identification standard for federal employees and contractors.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For necessary expenses of the Office of the Under Secretary for Management, as authorized by sections 701 through 705 of the Homeland Security Act of 2002 (6 U.S.C. 341 through 345), [\$235,587,000] **\$221,771,000**, of which not to exceed [\$2,500] **\$2,500** shall be for official reception and representation expenses: Provided, That of the total amount made available under this heading, [\$5,000,000] **\$5,448,000** shall remain available until September 30, 2017, solely for the alteration and improvement of facilities, tenant improvements, and relocation costs to consolidate Department headquarters operations at the Nebraska Avenue Complex; and [\$14,172,000] **\$9,689,000** shall remain available until September 30, 2015, for the Human Resources Information Technology program.

#### **Explanation of Changes:**

No substantive changes.

**B. FY 2012 to FY 2013 Budget Change**  
**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Under Secretary for Management (USM):**  
**FY2012 to FY2013 Budget Change**  
(Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>845</b>	<b>818</b>	<b>237,519</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>911</b>	<b>897</b>	<b>235,587</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
Transfer from OCAO to OCIO	(9)	(9)	(2,010)
<b>Total, Transfers</b>	<b>(9)</b>	<b>(9)</b>	<b>(2,010)</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 Pay Increase	-	-	538
Annualization of prior year funding	-	14	2,011
GSA Rent	-	-	4,927
Ongoing NAC Improvements	-	-	448
WCF Increase	-	-	160
<b>Total, Increases</b>	<b>-</b>	<b>14</b>	<b>8,084</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Management Efficiencies	-	-	(15,398)
Offset for OCFO FSM	-	-	(4,492)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(19,890)</b>
<b>Total, Adjustments-to-Base</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>
<b>FY 2013 Current Services</b>	<b>902</b>	<b>902</b>	<b>221,771</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2013 Requested Budget Authority</b>	<b>902</b>	<b>902</b>	<b>221,771</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>

## C. Summary of Requirements

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

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	845	818	237,519
<b>FY 2012 Enacted Budget Authority</b>	911	897	235,587
<b>Adjustments-to-Base</b>	-	-	-
Transfers	(9)	(9)	(2,010)
Increases	-	14	8,084
Decreases	-	-	(19,890)
<b>Total, Adjustments-to-Base</b>	(9)	5	(13,816)
<b>FY 2013 Current Services</b>	902	902	221,771
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	902	902	221,771
<b>FY 2012 to FY 2013 Total Change</b>	(9)	5	(13,816)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immediate Office of the Under Secretary for Management	15	15	2,550	2	2	562	-	-	-	17	17	3,112	2	2	562
Office of the Chief Administrative Officer	139	139	40,700	(15)	(15)	(5,583)	-	-	-	124	124	35,117	(15)	(15)	(5,583)
DHS HQ NAC Project	-	-	5,000	-	-	448	-	-	-	-	-	5,448	-	-	448
Office of the Chief Human Capital Officer	118	118	25,165	4	4	806	-	-	-	122	122	25,971	4	4	806
HRIT	27	27	14,172	-	-	(4,483)	-	-	-	27	27	9,689	-	-	(4,483)
Office of the Chief Procurement Officer	359	349	78,000	-	10	(4,824)	-	-	-	359	359	73,176	-	10	(4,824)
Office of the Chief Security Officer	253	249	70,000	-	4	(742)	-	-	-	253	253	69,258	-	4	(742)
<b>Total</b>	<b>911</b>	<b>897</b>	<b>235,587</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>902</b>	<b>902</b>	<b>221,771</b>	<b>(9)</b>	<b>5</b>	<b>(13,816)</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Under Secretary for Management (USM):  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Customs & Border Protection	-	-	10,291	-	-	11,262	-	-	4,748	-	-	(6,514)
Domestic Nuclear Detection Office	-	-	235	-	-	241	-	-	291	-	-	50
FPS	-	-	193	-	-	1,646	-	-	-	-	-	(1,646)
Federal Emergency Management Agency	-	-	4,470	-	-	5,063	-	-	3,670	-	-	(1,393)
Federal Law Enforcement Training Center	-	-	378	-	-	482	-	-	430	-	-	(52)
Immigration & Customs Enforcement	-	-	5,497	-	-	6,838	-	-	3,628	-	-	(3,210)
National Protection and Program Directorate	-	-	1,378	-	-	1,438	-	-	1,679	-	-	241
Office of Health Affairs	-	-	144	-	-	150	-	-	160	-	-	10
Office of National Drug Control Policy	-	-	215	-	-	218	-	-	219	-	-	1
Office of the Inspector General	-	-	264	-	-	284	-	-	329	-	-	45
Operations Coordination and Intelligence & Analysis	-	-	4,281	-	-	3,866	-	-	4,350	-	-	484
Science & Technology	-	-	571	-	-	597	-	-	660	-	-	63
Transportation Security Administration	-	-	9,874	-	-	11,141	-	-	4,419	-	-	(6,722)
U.S. Secret Service	-	-	766	-	-	959	-	-	-	-	-	(959)
U.S. Visit	-	-	218	-	-	233	-	-	185	-	-	(48)
United States Coast Guard	-	-	2,193	-	-	2,193	-	-	2,193	-	-	-
United States Citizenship & Immigration Services	-	-	4,471	-	-	4,734	-	-	2,637	-	-	(2,097)
<b>Total Budgetary Resources</b>	-	-	<b>45,439</b>	-	-	<b>51,345</b>	-	-	<b>29,598</b>	-	-	<b>(21,747)</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Office of Security	-	-	21,831	-	-	27,905	-	-	1,483	-	-	(26,422)
Office of the Chief Administrative Officer	-	-	23,440	-	-	23,440	-	-	28,115	-	-	4,675
Office of the Chief Human Capital Officer	-	-	168	-	-	-	-	-	-	-	-	-
<b>Total Obligations</b>	-	-	<b>45,439</b>	-	-	<b>51,345</b>	-	-	<b>29,598</b>	-	-	<b>(21,747)</b>

## E. Summary of Requirements By Object Class

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	73,966	82,167	84,689	2,522
11.3 Other than full-time permanent	1,421	1,508	1,521	13
11.5 Other personnel compensation	2,596	2,722	2,733	11
12.1 Benefits	21,869	24,598	24,647	49
<b>Total, Personnel and Other Compensation Benefits</b>	<b>99,852</b>	<b>110,995</b>	<b>113,590</b>	<b>2,595</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	736	709	610	(99)
22.0 Transportation of things	510	510	510	-
23.1 GSA rent	6,269	7,162	12,089	4,927
23.2 Other rent	393	399	398	(1)
23.3 Communications, utilities, and misc. charges	70	70	70	-
24.0 Printing	181	176	151	(25)
25.1 Advisory and assistance services	39,334	23,019	18,297	(4,722)
25.2 Other services	45,349	49,737	26,321	(23,416)
25.3 Purchases from Gov't accts.	41,548	45,815	46,763	948
25.4 O&M of facilities	480	485	488	3
25.6 Medical care	68	63	62	(1)
25.7 Operation and maintenance of equipment	222	199	199	-
26.0 Supplies and materials	1,514	1,371	1,279	(92)
31.0 Equipment	993	1,040	944	(96)
<b>Total, Other Object Classes</b>	<b>137,667</b>	<b>130,755</b>	<b>108,181</b>	<b>(22,574)</b>
<b>Total, Direct Obligations</b>	<b>237,519</b>	<b>241,750</b>	<b>221,771</b>	<b>(19,979)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(6,163)	-	6,163
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(6,163)</b>	<b>-</b>	<b>6,163</b>
<b>Total Requirements</b>	<b>237,519</b>	<b>235,587</b>	<b>221,771</b>	<b>(13,816)</b>
<b>Full Time Equivalents</b>	<b>818</b>	<b>897</b>	<b>902</b>	<b>5</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Under Secretary for Management (USM):  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	36	38	38	-
GS-15	157	166	165	(1)
GS-14	169	174	172	(2)
GS-13	145	170	166	(4)
GS-12	92	107	105	(2)
GS-11	79	88	88	-
GS-9	57	50	50	-
GS-8	2	2	2	-
GS-7	90	96	96	-
GS-6	2	3	3	-
GS-5	5	5	5	-
GS-4	8	9	9	-
GS-3	3	3	3	-
<b>Total Permanent Positions</b>	<b>845</b>	<b>911</b>	<b>902</b>	<b>(9)</b>
Unfilled Positions EOY	27	14	-	(14)
Total Permanent Employment EOY	818	897	902	5
Headquarters	845	911	902	(9)
<b>Total, Office of the Under Secretary for Management (USM):</b>	<b>845</b>	<b>911</b>	<b>902</b>	<b>(9)</b>
<b>Full Time Equivalents</b>	<b>818</b>	<b>897</b>	<b>902</b>	<b>5</b>
Average ES Salary	170,841	174,770	178,790	4,020
Average GS Salary	111,217	113,775	116,392	2,617
Average Grade	14	14	14	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Under Secretary for Management (USM):  
Office of the Chief Security Officer  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	22,631	23,848	24,349	501
11.3 Other than full-time permanent	32	73	74	1
11.5 Other personnel compensation	1,144	1,177	1,145	(32)
12.1 Benefits	6,631	7,040	7,172	132
<b>Total, Personnel and Compensation Benefits</b>	<b>30,438</b>	<b>32,138</b>	<b>32,740</b>	<b>602</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	286	255	252	(3)
23.1 GSA rent	2,602	3,338	3,895	557
23.2 Other rent	57	59	59	-
24.0 Printing	9	9	9	-
25.1 Advisory and assistance services	16,433	8,705	8,038	(667)
25.2 Other services	112	112	53	(59)
25.3 Purchases from Gov't accts.	20,357	24,128	23,041	(1,087)
25.4 O&M of facilities	154	154	157	3
25.6 Medical care	14	14	13	(1)
25.7 Operation and maintenance of equipment	39	18	18	-
26.0 Supplies and materials	463	320	310	(10)
31.0 Equipment	726	750	673	(77)
<b>Total, Other Object Classes</b>	<b>41,252</b>	<b>37,862</b>	<b>36,518</b>	<b>(1,344)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>71,690</b>	<b>70,000</b>	<b>69,258</b>	<b>(742)</b>
<b>Full Time Equivalents</b>	<b>235</b>	<b>249</b>	<b>253</b>	<b>4</b>

### Office of the Chief Security Officer Mission Statement

OCSO leads the collaborative security program to safeguard the Department's people, information, and property so that the Department can secure the homeland. The office develops, implements, and oversees the Department's security policies, programs, and standards; delivers security training and education to DHS personnel; and provides security support to DHS Components. The office manages operational security systems and HSPD-12 card issuance for the Department. Additionally, the office investigates threats related to foreign intelligence, terrorism, and criminal activities within or directed against DHS.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	22,631	23,848	24,349	501
11.3 Other than full-time permanent	32	73	74	1
11.5 Other personnel compensation	1,144	1,177	1,145	(32)
12.1 Benefits	6,631	7,040	7,172	132
<b>Total, Salaries &amp; Benefits</b>	<b>30,438</b>	<b>32,138</b>	<b>32,740</b>	<b>602</b>

The Office of the Chief Security Officer requests \$32,740,000 million to fully fund and support 253 FTEs providing leadership, operational services, and business support to the Department's collaborative security program in FY 2013. This is a net increase of \$602,000 from the FY2012 base is due to FY2012 Enacted enhancements and the FY 2013 pay increase. The requested level also includes some reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$286</b>	<b>\$255</b>	<b>\$252</b>	<b>-\$3</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The requested level includes reductions of \$3,000 taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$2,602</b>	<b>\$3,338</b>	<b>\$3,895</b>	<b>\$557</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 Request includes an increase of \$557,000 for increased space requirements for OCSO.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$16,433</b>	<b>\$8,705</b>	<b>\$8,038</b>	<b>-\$667</b>

This request funds the technical, administrative, and security systems contractor support provided to the office in FY 2013. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$112</b>	<b>\$112</b>	<b>\$53</b>	<b>-\$59</b>

This request funds the DHS Executive Sedan service and professional training for employees. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$20,357	\$24,128	\$23,041	-\$1,087

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The request will fully fund the anticipated costs for the OPM background investigations and working capital fund services. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$154	\$154	\$157	\$3

This funds the OCSO portion of the Consolidated Remote Delivery System (CRDS) mail service provided as a shared service by the Office of the Chief Administrative Officer. This request includes a \$3,000 increase from the FY 2012 base to cover increased estimated costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$14	\$14	\$13	-\$1

This funds the OCSO portion of the Federal Occupational Health shared service provided by the Office of the Chief Administrative Officer. This request is \$1,000 less than the FY 2012 base amount.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$463	\$320	\$310	-\$10

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. This request funds the OCSO for micropurchases in support of mission requirements. This is a \$10,000 decrease from the FY 2012 base due to reprioritization of program funding.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$726	\$750	\$673	-\$77

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. This request funds OCSO equipment requirements. This is a decrease of \$77,000 from the FY 2012 due to a reprioritization of program funding for management efficiencies.

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Under Secretary for Management (USM):**  
**Office of the Chief Procurement Officer**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	29,134	31,057	32,383	1,326
11.3 Other than full-time permanent	267	288	300	12
11.5 Other personnel compensation	790	852	888	36
12.1 Benefits	9,110	9,704	10,118	414
<b>Total, Personnel and Compensation Benefits</b>	<b>39,301</b>	<b>41,901</b>	<b>43,689</b>	<b>1,788</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	295	290	244	(46)
23.1 GSA rent	1,805	1,895	3,956	2,061
23.2 Other rent	65	65	65	-
24.0 Printing	84	75	52	(23)
25.1 Advisory and assistance services	169	154	129	(25)
25.2 Other services	27,640	28,074	17,374	(10,700)
25.3 Purchases from Gov't accts.	4,113	4,733	6,935	2,202
25.4 O&M of facilities	71	71	71	-
25.6 Medical care	31	26	26	-
26.0 Supplies and materials	723	716	635	(81)
31.0 Equipment	1	-	-	-
<b>Total, Other Object Classes</b>	<b>34,997</b>	<b>36,099</b>	<b>29,487</b>	<b>(6,612)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>74,298</b>	<b>78,000</b>	<b>73,176</b>	<b>(4,824)</b>
<b>Full Time Equivalents</b>	<b>353</b>	<b>349</b>	<b>359</b>	<b>10</b>

**Office of the Chief Procurement Officer Mission Statement**

Office of the Chief Procurement Officer (OCPO) establishes the acquisition regulations, policies and procedures for DHS. It oversees the Department' acquisition programs and assists the acquisition community with implementing difficult and complex procurements to reduce risk and ensure success. OCPO has implemented a centrally funded and managed Acquisition Professional Career Program modeled after the highly successful Navy Intern Program. This program features three, single-year rotations through various components and provides Interns with experience and training necessary to become journeymen-level acquisition professionals. Additionally, OCPO strategically sources common items across DHS to create more efficient procurements, manage DHS's competitive sourcing actions, and reports externally on DHS progress. OCPO in tandem with the Office of Human Resources sets forth responsibilities and procedures for implementing acquisition workforce planning, centralized acquisition workforce recruitment, and training, for the acquisition career field across the Department. OCPO also conducts Department-wide assessments to determine gaps in key acquisition disciplines.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	29,134	31,057	32,383	1,326
11.3 Other than full-time permanent	267	288	300	12
11.5 Other personnel compensation	790	852	888	36
12.1 Benefits	9,110	9,704	10,118	414
<b>Total, Salaries &amp; Benefits</b>	<b>39,301</b>	<b>41,901</b>	<b>43,689</b>	<b>1,788</b>

This change includes the FY 2013 pay increase, and the annualization of FY2012 enacted enhancements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$295</b>	<b>\$290</b>	<b>\$244</b>	<b>-\$46</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The requested level includes reductions taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,805</b>	<b>\$1,895</b>	<b>\$3,956</b>	<b>\$2,061</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 Request includes an increase of \$2,061,000 for increased space requirements for OCPO.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$84</b>	<b>\$75</b>	<b>\$52</b>	<b>-\$23</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 Request for printing is a \$23,000 decrease from FY 2012 levels. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$169</b>	<b>\$154</b>	<b>\$129</b>	<b>-\$25</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$27,640	\$28,074	\$17,374	-\$10,700

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$4,113	\$4,733	\$6,935	\$2,202

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 Request includes a net increase of \$2,202,000 due to anticipated increases in Working Capital Fund charges.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$723	\$716	\$635	-\$81

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The requested level includes reductions taken as part of the management efficiencies.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 HRIT**

**Summary of Requirements by Object Class  
 (Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	916	1,181	1,190	9
11.3 Other than full-time permanent	4	5	5	-
11.5 Other personnel compensation	5	6	6	-
12.1 Benefits	254	327	327	-
<b>Total, Personnel and Compensation Benefits</b>	<b>1,179</b>	<b>1,519</b>	<b>1,528</b>	<b>9</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	6	8	8	-
25.2 Other services	12,381	16,267	5,671	(10,596)
25.3 Purchases from Gov't accts.	1,834	2,364	2,364	-
26.0 Supplies and materials	9	12	12	-
31.0 Equipment	82	106	106	-
<b>Total, Other Object Classes</b>	<b>14,312</b>	<b>18,757</b>	<b>8,161</b>	<b>(10,596)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(6,104)	-	6,104
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(6,104)</b>	<b>-</b>	<b>6,104</b>
<b>Total Requirements</b>	<b>15,491</b>	<b>14,172</b>	<b>9,689</b>	<b>(4,483)</b>
<b>Full Time Equivalents</b>	<b>17</b>	<b>27</b>	<b>27</b>	<b>-</b>

**HRIT Mission Statement**

The HRIT Investment's mission is to implement and manage a consolidated suite of modernized HRIT business solutions, reducing redundancies and increasing the functionality of HR systems across the Enterprise. HRIT funds the planning, acquisition, configuration, and implementation of COTS/GOTS packages and eGov/HRLoB shared services to consolidate, modernize, and/or replace HRIT systems at the Enterprise-level. The program is governed by the HRIT Executive Steering Committee (ESC), established per Deputy Secretary guidance. Once IT solutions have been acquired and deployed to DHS components, their Operations and Maintenance (O&M) is funded via Component contributions to Working Capital Funds (WCF).

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	916	1,181	1,190	9
11.3 Other than full-time permanent	4	5	5	-
11.5 Other personnel compensation	5	6	6	-
12.1 Benefits	254	327	327	-
<b>Total, Salaries &amp; Benefits</b>	<b>1,179</b>	<b>1,519</b>	<b>1,528</b>	<b>9</b>

Salaries and Benefits includes costs for 27 FTEs. The FY 2013 Request includes an increase in personnel compensation to fund the FY 2013 2013 pay increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$12,381	\$16,267	\$5,671	-\$10,596

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 Request includes a decrease due to the use of Carryover in FY2012 and the OCFO offset to fund Financial Systems Modernization (FSM).

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Under Secretary for Management (USM):**  
**Office of the Chief Human Capital Officer**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	11,709	12,071	14,307	2,236
11.3 Other than full-time permanent	603	622	620	(2)
11.5 Other personnel compensation	307	317	325	8
12.1 Benefits	3,247	3,347	3,459	112
<b>Total, Personnel and Compensation Benefits</b>	<b>15,866</b>	<b>16,357</b>	<b>18,711</b>	<b>2,354</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	79	81	48	(33)
23.1 GSA rent	1,691	1,693	2,445	752
23.2 Other rent	98	101	101	-
24.0 Printing	41	42	42	-
25.2 Other services	564	635	598	(37)
25.3 Purchases from Gov't accts.	5,803	5,952	3,722	(2,230)
25.4 O&M of facilities	166	171	171	-
25.6 Medical care	15	15	15	-
25.7 Operation and maintenance of equipment	2	-	-	-
26.0 Supplies and materials	106	109	109	-
31.0 Equipment	9	9	9	-
<b>Total, Other Object Classes</b>	<b>8,574</b>	<b>8,808</b>	<b>7,260</b>	<b>(1,548)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>24,440</b>	<b>25,165</b>	<b>25,971</b>	<b>806</b>
<b>Full Time Equivalents</b>	<b>113</b>	<b>118</b>	<b>122</b>	<b>4</b>

**Office of the Chief Human Capital Officer Mission Statement**

The Office of the Chief Human Capital Officer (OCHCO) provides overall management and administration for the Department's human capital policies, programs and practices for attracting, retaining and developing the skilled workforce needed to protect and secure our Nation.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	11,709	12,071	14,307	2,236
11.3 Other than full-time permanent	603	622	620	(2)
11.5 Other personnel compensation	307	317	325	8
12.1 Benefits	3,247	3,347	3,459	112
<b>Total, Salaries &amp; Benefits</b>	<b>15,866</b>	<b>16,357</b>	<b>18,711</b>	<b>2,354</b>

Salary and Benefit costs support 122 FTEs. The FY 2013 Request includes a decrease in overtime costs, the FY 2013 pay increase, the realignment of the Safety function from the Office of the Chief Administrative Officer, and to accommodate promotions and step increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$79</b>	<b>\$81</b>	<b>\$48</b>	<b>-\$33</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The requested level includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,691</b>	<b>\$1,693</b>	<b>\$2,445</b>	<b>\$752</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 Request includes an increase due to Working Capital Fund expenditures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$564</b>	<b>\$635</b>	<b>\$598</b>	<b>-\$37</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 Request includes reductions taken as part of the management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$5,803</b>	<b>\$5,952</b>	<b>\$3,722</b>	<b>-\$2,230</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. These costs represent OCHCO's costs for WCF/CAO Shared Services, excluding rent. The requested level includes reductions taken as part of the management efficiencies.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Under Secretary for Management (USM):  
 DHS HQ NAC Project  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
Personnel and Compensation Benefits	-	-	-	-
Other Object Classes	-	-	-	-
25.3 Purchases from Gov't accts.	5,902	5,059	5,448	389
<b>Total, Other Object Classes</b>	<b>5,902</b>	<b>5,059</b>	<b>5,448</b>	<b>389</b>
Adjustments	-	-	-	-
Unobligated Balance, start of year	-	(59)	-	59
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(59)</b>	<b>-</b>	<b>59</b>
<b>Total Requirements</b>	<b>5,902</b>	<b>5,000</b>	<b>5,448</b>	<b>448</b>
<b>Full Time Equivalents</b>	-	-	-	-

**DHS HQ NAC Project Mission Statement**

The Nebraska Avenue Complex (NAC) currently serves as the headquarters facility for DHS, as well as the support location for additional mission support functions. DHS continues to invest in this property to sustain our overall operational capabilities.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$5,902	\$5,059	\$5,448	\$389

Purchases from Government Accounts include costs for purchases from other Federal Government agencies. The increase for ongoing NAC improvements, including the reconfiguration of space in several NAC buildings to increase utilization and to implement the Department's Mobile Workforce Design.

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Under Secretary for Management (USM):**  
**Office of the Chief Administrative Officer**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	8,451	12,874	10,919	(1,955)
11.3 Other than full-time permanent	89	89	89	-
11.5 Other personnel compensation	330	350	350	-
12.1 Benefits	2,230	3,779	3,079	(700)
<b>Total, Personnel and Compensation Benefits</b>	<b>11,100</b>	<b>17,092</b>	<b>14,437</b>	<b>(2,655)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	55	60	49	(11)
22.0 Transportation of things	510	510	510	-
23.1 GSA rent	-	65	1,573	1,508
23.2 Other rent	165	165	165	-
23.3 Communications, utilities, and misc. charges	70	70	70	-
24.0 Printing	37	40	40	-
25.1 Advisory and assistance services	22,732	14,160	10,130	(4,030)
25.2 Other services	4,503	4,503	2,553	(1,950)
25.3 Purchases from Gov't accts.	3,220	3,431	5,005	1,574
25.4 O&M of facilities	71	71	71	-
25.6 Medical care	7	7	7	-
25.7 Operation and maintenance of equipment	181	181	181	-
26.0 Supplies and materials	170	170	170	-
31.0 Equipment	175	175	156	(19)
<b>Total, Other Object Classes</b>	<b>31,896</b>	<b>23,608</b>	<b>20,680</b>	<b>(2,928)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>42,996</b>	<b>40,700</b>	<b>35,117</b>	<b>(5,583)</b>
<b>Full Time Equivalents</b>	<b>87</b>	<b>139</b>	<b>124</b>	<b>(15)</b>

**Office of the Chief Administrative Officer Mission Statement**

The mission of the Office of the Chief Administrative Officer (OCAO) ensures USM offices function effectively and efficiently in support of the Department as a whole and in direct support of other USM offices.



## Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	8,451	12,874	10,919	(1,955)
11.3 Other than full-time permanent	89	89	89	-
11.5 Other personnel compensation	330	350	350	-
12.1 Benefits	2,230	3,779	3,079	(700)
<b>Total, Salaries &amp; Benefits</b>	<b>11,100</b>	<b>17,092</b>	<b>14,437</b>	<b>(2,655)</b>

Salaries and benefits includes costs for 124 FTEs in FY 2013. This change includes the FY 2013 pay increase as well as the transfer of OCAO functions to OCIO and the realignment of functions to OUSM and OCHCO.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	\$55	\$60	\$49	-\$11

Travel includes all costs of transportation of persons, subsistence of travelers in accordance with Federal travel regulations. The requested level includes reductions taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	0	\$65	\$1,573	\$1,508

GSA Rent includes all payment to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request includes a proposed increase in rent costs of \$1.508M from GSA pass through the WCF.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	\$22,732	\$14,160	\$10,130	-\$4,030

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The requested level includes reductions taken in the transfer of functions OCIO and the realignment of OCHCO, as well as part of management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	\$4,503	\$4,503	\$2,553	-\$1,950

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The requested level includes reductions taken as part of management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	\$3,220	\$3,431	\$5,005	\$1,574

Purchases from Government accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes known increased costs from the WCF.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$175	\$175	\$156	-\$19

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The requested level includes reductions taken as part of the management efficiencies.

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Under Secretary for Management (USM):**  
**Immediate Office of the Under Secretary for Management**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,125	1,136	1,541	405
11.3 Other than full-time permanent	426	431	433	2
11.5 Other personnel compensation	20	20	19	(1)
12.1 Benefits	397	401	492	91
<b>Total, Personnel and Compensation Benefits</b>	<b>1,968</b>	<b>1,988</b>	<b>2,485</b>	<b>497</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	15	15	9	(6)
23.1 GSA rent	171	171	220	49
23.2 Other rent	8	9	8	(1)
24.0 Printing	10	10	8	(2)
25.2 Other services	149	146	72	(74)
25.3 Purchases from Gov't accts.	319	148	248	100
25.4 O&M of facilities	18	18	18	-
25.6 Medical care	1	1	1	-
26.0 Supplies and materials	43	44	43	(1)
<b>Total, Other Object Classes</b>	<b>734</b>	<b>562</b>	<b>627</b>	<b>65</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,702</b>	<b>2,550</b>	<b>3,112</b>	<b>562</b>
<b>Full Time Equivalents</b>	<b>13</b>	<b>15</b>	<b>17</b>	<b>2</b>

**Immediate Office of the Under Secretary for Management Mission Statement**

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

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,125	1,136	1,541	405
11.3 Other than full-time permanent	426	431	433	2
11.5 Other personnel compensation	20	20	19	(1)
12.1 Benefits	397	401	492	91
<b>Total, Salaries &amp; Benefits</b>	<b>1,968</b>	<b>1,988</b>	<b>2,485</b>	<b>497</b>

Salary and Benefit costs currently support 17 FTEs. The FY 2013 Request includes the FY 2013 pay increase and \$441,000 due to a realignment from the Office of the Chief Administrative Officer. The requested level also includes reductions taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$15	\$15	\$9	-\$6

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The requested level includes a \$6,000 reduction taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$171	\$171	\$220	\$49

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 Request includes an increase of \$49,000 due to increased space requirements and increased rent costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$8	\$9	\$8	-\$1

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The requested level includes reductions taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$10	\$10	\$8	-\$2

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The requested level includes reductions taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$149	\$146	\$72	-\$74

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The requested level includes reductions taken as part of the Management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$319	\$148	\$248	\$100

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The requested level includes an increase for estimated FY2013 Working Capital Fund (WCF) bills.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$43	\$44	\$43	-\$1

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The requested level includes reductions taken as part of the Management efficiencies.

# I. Changes In Full Time Equivalent

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>741</b>	<b>818</b>	<b>897</b>
<b>Increases</b>			
Office of the Chief Human Capital Officer - Right Sizing	11	8	-
Human Resources Information Technology - Right Sizing	-	12	-
Office of the Chief Security Officer - DHS Balanced Workforce Strategy	24	-	-
Office of the Chief Procurement Officer - APCP Intern Program and OSA	13	-	-
Office of the Chief Procurement Officer - Cost Analysis	-	5	5
Immediate Office of the USM - Transfer In	-	-	2
Office of the Chief Human Capital Officer - Transfer In	-	-	4
Office of the Chief Security Officer - SLTPS	-	5	4
Office of the Chief Procurement Officer - Right Sizing	-	1	-
Office of the Chief Procurement Officer - Acquisition Workforce	-	5	5
Immediate Office of the USM - Right Sizing	-	2	-
Office of the Chief Security Officer - Right Sizing	4	24	-
Office of the Chief Human Capital Officer - DHS BWS	25	-	-
Office of the Chief Administrative Officer - DHS BWS	-	52	-
<b>Subtotal, Increases</b>	<b>77</b>	<b>114</b>	<b>20</b>
<b>Decreases</b>			
Human Resources Information Technology - FTE Reduction	-	(2)	-
Office of the Chief Security Officer - Transfer Out	-	(6)	-
Office of the Chief Administrative Officer - Transfer Out	-	-	(15)
Office of the Chief Human Capital Officer - FTE Reduction	-	(3)	-
Office of the Chief Procurement Officer - FTE Reduction	-	(15)	-
Office of the Chief Security Officer - FTE Reduction	-	(9)	-
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(35)</b>	<b>(15)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>818</b>	<b>897</b>	<b>902</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>77</b>	<b>79</b>	<b>5</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Immediate Office of the Under Secretary for Management	\$293	\$320	\$426	\$106
Office of the Chief Administrative Officer	3,220	3,496	6,578	3,082
Office of the Chief Human Capital Officer	5,468	5,821	7,684	1,863
Office of the Chief Procurement Officer	5,918	6,628	10,891	4,263
Office of the Chief Security Officer	8,558	9,744	12,422	2,678
<b>Total Working Capital Fund</b>	<b>23,457</b>	<b>26,009</b>	<b>38,001</b>	<b>11,992</b>

## K. DHS Balanced Workforce Strategy

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

Position Type	FY 2011 Actual Obligations		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
OCAO	0	0	52	52	-	-	-	-	-	-	52	52
OCHCO	25	25	0	0	-	-	-	-	-	-	25	25
OCSO	24	24	0	0	-	-	-	-	-	-	24	24
<b>Total</b>	<b>49</b>	<b>49</b>	<b>52</b>	<b>52</b>	-	-	-	-	-	-	<b>101</b>	<b>101</b>



A total of 101 contractor positions within USM were converted to full time federal employees between FY 2011 and FY2012. Employees converted continue in the same or similar positions as government employees.

**FY 2013 DHS Balanced Workforce Strategy**

- N/A

**Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

- N/A

**DHS Balanced Workforce Strategy Follow-On**

- N/A

# Department of Homeland Security

*Departmental Management and Operations*  
*Office of the Chief Financial Officer*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Departmental Management and Operations Office of the Chief Financial Officer**

### **I. Appropriation Overview**

#### **Mission Statement**

The mission of Office of the Chief Financial Officer (OCFO) is to ensure that the funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant law and policies, and to provide guidance and oversight of the Department's budget, financial management, and resource management systems.

The DHS Chief Financial Office (OCFO) goals are to:

- Provide timely, accurate, useful, and actionable financial information to decision makers and stakeholders.
- Provide assurance that internal controls are effective.
- Provide efficient financial management services and operations.
- Develop program plans and budgets that are well-justified and balanced to support DHS priorities.
- Strengthen DHS financial management systems.
- Recruit, develop, and retain a talented workforce to achieve the OCFO mission.
- Strengthen financial assistance accountability.

#### **B. Budget Activities:**

Under OCFO, the following Divisions fulfill these functions:

##### Budget:

- Issue guidance to the Department's Components to ensure that all phases of budget formulation and execution are efficiently completed;
- Ensure technical accuracy of budget-related materials;
- Determine that sufficient resources are available to support activities of the appropriate fiscal year;
- Administer the Department's budget, appropriations, and expenditures of funds;
- Work with Program Analysis & Evaluation (PA&E) and DHS Components to formulate annual budget submissions, ensure these properly reflect DHS requirements, and assist in the presentation and defense of submissions to the Office of Management and Budget (OMB) and Congress;
- Coordinate and review budget execution for each Component and appropriation, conduct spend plan and execution reviews, and act on requests for modifications;

- Conduct special studies and analyses of execution of financial plans and recommend reprogrammings as necessary for effective funds utilization;
- Prepare budgetary reports as necessary or as required by OMB and Congress;
- Prepare the Secretary to testify on the budget request and coordinate responses to Questions for the Record;
- Track and monitor status of reports to Congress required by appropriations bills;
- Ensure technical accuracy and consistency of Component budget materials in accordance with OMB or Congressional guidance;
- Manage and coordinate Components' input into MAX, the on-line budget preparation data system;
- Analyze budgetary impact of pending legislation, and review reports to Congress, testimony, and other documents; and,
- Coordinate and review apportionments, reappropriations, and allotments for all DHS appropriations.

Program Analysis and Evaluation (PA&E):

- Develop and perform analyses and evaluations of alternative plans, programs, personnel levels, and budget submissions for the Department in relation to homeland security objectives, projected threats, vulnerability assessments, estimated costs, resource constraints, and the most recent homeland security strategy;
- Provide guidance and oversee the development of the Future Years Homeland Security Program (FYHSP) of the Department;
- Lead the performance measurement and reporting for DHS mission-oriented programs, and oversee preparation of the DHS performance plan and other performance reporting;
- Integrate performance measurement into strategic planning, resource allocation, program evaluation, evaluation of management personnel, and the culture of DHS;
- Act as the Deputy Program Improvement Officer (PIO) in order to supervise performance management activities, provide advice on program performance goals, convene responsible parties to assess and improve program performance, and guide the use of performance measures in personnel performance appraisals;
- Develop and promote improved analytical tools and methods for analyzing homeland security planning and the allocation of resources;
- Establish policies for and oversee the integration of the planning, programming, and budgeting system of the Department; and,
- Coordinate with and support the Office of Policy on DHS long-term strategic planning.

Financial Management:

- Develop and oversee Departmental financial management policy;
- Provide guidance for and oversee Financial Systems Modernization (FSM) efforts in conjunction with the Resource Management Transformation (RMT) division;
- Coordinate the Department's participation in government-wide financial management initiatives;

- Manage the DHS Treasury Information Executive Repository (TIER);
- Prepare the Department's consolidated financial statements and other required financial information, including the Annual Financial Report;
- Provide guidance and oversight to DHS Components on accounting and financial reporting requirements, and coordinate the annual audit of the Department's financial statements included in the Annual Financial Report; and,
- Administer the DHS Bankcard Program (purchase, travel, and fleet), develop and document bankcard policy, provide training and internal controls to provide reasonable assurance that the objectives of the Bankcard Program are met, and ensure that fraudulent or improper use and untimely payment are identified in a timely manner and appropriate corrective action is taken.

Internal Control Management Office:

- Implement the *Federal Managers' Financial Integrity Act* and its guidelines, *OMB Circular A-123: Management's Responsibility for Internal Control*, the *Chief Financial Officers Act*; the *DHS Financial Accountability Act*, and the *Improper Payments Information Act*;
- Lead the Department's assessment of internal controls;
- Coordinate the development and implementation of Mission Action Plans to address material weaknesses and other significant conditions;
- Issue guidance on and coordinate preparation of the Secretary's year-end Internal Control Assurance Statements; and,
- Conduct reviews of key financial processes to ensure internal controls are operating effectively, with the goal of identifying weaknesses before they become problems.

Financial Assistance Policy and Oversight:

- Advise senior DHS leadership regarding the situation-specific application of government-wide statutes, regulations, OMB circulars, Executive Orders, and DHS Financial Assistance Policy as these relate to use of federal funds;
- Define the DHS Financial Assistance Line of Business, including streamlining and standardizing business models and business processes and developing supporting technology;
- Lead the development of a DHS-wide, end-to-end financial assistance (grants) management system to ensure a transaction audit trail and improve financial assistance award reporting;
- Develop and distribute DHS Financial Assistance Policy for use across DHS to communicate legal requirements, regulation, circulars, Executive Directives, Comptroller General Decisions, and other legal issuances related to the use of federal funds;
- Provide oversight to ensure DHS and recipient compliance with requirements regarding the use of federal funds;
- Assess OMB Circular A-133: Audits of States, Local Governments and Non-Profit Organizations high risk audit findings, resolve high risk findings backlog, and develop Cost Policy to assist recipients in avoiding repeat high risk findings;

- Gather award data across Components to meet the reporting requirements of the Federal Financial Accountability and Transparency Act of 2006;
- Increase the accuracy, timeliness, and reliability of all DHS financial assistance award data, and ensure any end-to-end system has auto reporting capabilities, including file transfer to public venues and robust ad hoc query capability;
- Develop and maintain Grant Officer/Assistance Officer standards and qualifications; and,
- Articulate the steady state for an adequate centralized DHS Financial Assistance Policy and Oversight function.

Financial Operations:

- Oversee all aspects of budget formulation and execution for Components under Title I of the DHS Appropriations Act, except for the Office of the Inspector General (OIG) and Analysis and Operations (A&O) appropriations;
- Provide budget execution, accounting, and financial management and reporting services for Title I Components, except OIG and A&O, including managing apportionments, allotments, funds certifications, invoice processing, general ledger, payroll reconciliations, bank card, and travel;
- Oversee and manage the Department-wide Working Capital Fund (WCF);
- Perform internal audits and audit follow-up for Title I Components; and,
- Provide reasonable assurance on internal controls over financial reporting and internal controls over operations.

GAO and OIG Audit Liaison:

- Coordinate the Department's engagement in Government Accountability Office (GAO) and Office of the Inspector General (OIG) audits, including entrance and exit conferences, and the Department's response to audit reports and findings;
- Track audit recommendations and the Department's implementation of those recommendations; and,
- Provide oversight and guidance to Component-level GAO and OIG audit liaison offices and to DHS employees involved in audits, investigations, and inspections.

Resource Management Transformation:

- Manage the E-Gov travel implementation for DHS;
- Provide guidance for and oversee Financial Systems Modernization (FSM) efforts in conjunction with the Financial Management (FM) division; and,
- Oversee and develop business intelligence activities and capabilities including developing executive reporting capabilities and implementing tracking databases.

Workforce Development:

- Provide the training and tools to support personal performance and career path development, and execute talent management initiatives to recruit the next generation of financial management leaders;
- Provide experiences and opportunities designed to establish a strong foundation in financial management disciplines to optimize career building at DHS; and,

- Create a pipeline of strong candidates for senior financial management leadership roles at DHS.

**C. Budget Request Summary:**

The OCFO requests \$55.414 million, 212 full-time positions (FTP) and 212 full-time equivalents (FTE). This is an increase of \$4.554 million from the FY 2012 Enacted Budget. The total program changes include 0 FTE and \$6.7 million for the Financial Systems Modernization effort.



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Chief Financial Officer**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Office of the Chief Financial Officer	196	183	49,280	212	212	50,860	212	212	55,414	-	-	4,554	-	-	6,700	-	-	(2,146)
<b>Total, Office of the Chief Financial Officer</b>	<b>196</b>	<b>183</b>	<b>49,280</b>	<b>212</b>	<b>212</b>	<b>50,860</b>	<b>212</b>	<b>212</b>	<b>55,414</b>	<b>-</b>	<b>-</b>	<b>4,554</b>	<b>-</b>	<b>-</b>	<b>6,700</b>	<b>-</b>	<b>-</b>	<b>(2,146)</b>
Subtotal, Enacted Appropriations and Budget Estimates	196	183	49,280	212	212	50,860	212	212	55,414	-	-	4,554	-	-	6,700	-	-	(2,146)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>196</b>	<b>183</b>	<b>49,280</b>	<b>212</b>	<b>212</b>	<b>50,860</b>	<b>212</b>	<b>212</b>	<b>55,414</b>	<b>-</b>	<b>-</b>	<b>4,554</b>	<b>-</b>	<b>-</b>	<b>6,700</b>	<b>-</b>	<b>-</b>	<b>(2,146)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Chief Financial Officer  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Office of the Chief Financial Officer**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>196</b>	<b>183</b>	<b>49,280</b>
<b>2012 Enacted Budget Authority</b>	<b>212</b>	<b>212</b>	<b>50,860</b>
2013 Adjustments-to-Base	-	-	(2,146)
<b>2013 Current Services</b>	<b>212</b>	<b>212</b>	<b>48,714</b>
2013 Program Change	-	-	6,700
<b>2013 Total Requested Budget Authority</b>	<b>212</b>	<b>212</b>	<b>55,414</b>
Total Change 2012 to 2013	-	-	4,554

PPA: Office of the Chief Financial Officer

The Office of the Financial Officer (OCFO) requests \$55.414 million, 212 FTP, and 212 FTE for Fiscal Year (FY) 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OCFO ensures that the funds necessary to carry out the Department’s mission are obtained, allocated, and expended in accordance with the Department’s priorities and relevant law and policies. This mission is supported by the Budget, PA&E, and Financial Operations divisions. OCFO also provides guidance and oversight of the Department’s budget, financial management, and resource management systems. This guidance and oversight are supported by the Financial Management, Internal Controls, Financial Assistance Policy and Oversight, GAO and OIG Audit Liaison, Resource Management Transformation, and Workforce Development divisions.

OCFO will achieve efficiencies through the timing of replacing personnel lost through attrition, strategic sourcing, and information technology infrastructure reductions. OCFO will achieve the OMB/OFPP directed purchasing savings and advisory and assistance services savings by reducing funding placed on contracts, relying on Federal staff to assume contractor responsibilities wherever possible, and reducing purchasing of supplies and equipment.

Adjustments-to-base include:

- Increase of \$144K for the FY 2013 Pay Increase.
- Increase of \$53K for the annualization of one half FTE for the FY 2012 enhancement for the CFO Special Access Program Control Office (SAPCO).
- Increase of \$966K for additional Working Capital Fund expenditures.
- Decrease of \$3.120M for management efficiencies:
  - Decrease of \$9K for General TDY and Travel;
  - Decrease of \$145K of Purchasing Saving;
  - Decrease \$10K of Overtime;
  - Decrease of \$6K for DHS Strategic Sourcing Initiative; and
  - Decrease of \$2.950M through efficiencies (to include Advisory and Assistance Services and Supplies).
- Decrease of \$189K for Working Capital Fund Rent.

## IV. Program Justification Changes

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Financial Officer  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Financial Systems Modernization  
PPA:  
Program Increase: Positions 0, FTE 0, Dollars \$6,700

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	6,700
<b>Total Request</b>	-	-	<b>3,992</b>	-	-	-	-	-	<b>6,700</b>

**Description of Item**

The request supports financial systems modernization requirements at DHS, specifically completing implementation of a new core financial system at the Federal Emergency Management Agency (FEMA) in FY 2013. Funding will be used for the implementation and migration to a new financial system that will deliver core accounting functionality. OCFO is working closely with FEMA during the migration to ensure use of standardized business processes and internal controls, implementation of a common line of accounting, and maintenance of data quality standards.

**Justification**

Incorporating lessons learned from other agencies and prior DHS modernization efforts, the Department now plans to target those Components with urgent financial systems modernization requirements over the next few years, using a decentralized approach and in close collaboration with the Office of Federal Financial Management. Financial systems modernization efforts within DHS will focus on providing a solution that is already operational in the Federal space. DHS has chosen FEMA as the first target for modernization, after a Department-wide evaluation revealed it to be the Component with the greatest immediate need.

FEMA’s current financial system lacks basic key financial functions which drive accounts receivables and budgets. FEMA is also experiencing a number of reporting issues and lacks the ability to pull basic financial reports without substantial manual intervention, and is operating at or near 100% of capacity on a continuous basis. The situation is exacerbated when FEMA is operating during a state of

national disaster, or an event of national significance. A new financial system is needed to be able to accurately account for, track, and report on FEMA resources, and meet minimum federal financial system processing requirements.

### **Impact on Performance**

Strong financial management and accounting systems are a fundamental prerequisite to allow the Department to meet its strategic and operational goals. The successful implementation of the Financial Systems Modernization program will directly support the missions of the Department as described in the Quadrennial Homeland Security Review, and further the Departmental goal to continue to mature and strengthen the homeland security enterprise. If funded, this request will allow FEMA to have a system that enables accurate and timely financial reporting, facilitates clean audit opinions, addresses systems security issues, and remediates financial control and financial system weaknesses.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

#### **Appropriation Language**

For necessary expenses for enforcement of the Office of the Chief Financial Officer as authorized by section 103 of the Homeland Security Act of 2002 (6 U.S.C. 113), [\$50,860,000] \$55,414,000 of which [\$0] \$6,700,000 shall remain available until expended for financial systems modernization.

#### **Explanation of Changes:**

No substantive changes.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Financial Officer  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>196</b>	<b>183</b>	<b>49,280</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>212</b>	<b>212</b>	<b>50,860</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
Annualization of FY 2012 Enhancement SAPCO	-	-	53
FY 2013 Pay Increase	-	-	144
WCF Increase	-	-	966
<b>Total, Increases</b>	-	-	<b>1,163</b>
<b>Decreases</b>	-	-	-
GSA Rent	-	-	(189)
Management Efficiencies	-	-	(3,120)
<b>Total, Decreases</b>	-	-	<b>(3,309)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(2,146)</b>
 <b>FY 2013 Current Services</b>	 <b>212</b>	 <b>212</b>	 <b>48,714</b>
 <b>Program Changes</b>	 -	 -	 -
<b>Increases</b>	-	-	-
Financial Systems Modernization	-	-	6,700
<b>Total, Increases</b>	-	-	<b>6,700</b>
<b>Total, Program Changes</b>	-	-	<b>6,700</b>
 <b>FY 2013 Requested Budget Authority</b>	 <b>212</b>	 <b>212</b>	 <b>55,414</b>
 <b>FY 2012 to FY 2013 Total Change</b>	 -	 -	 <b>4,554</b>

## C. Summary of Requirements

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Financial Officer  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	196	183	49,280
<b>FY 2012 Enacted Budget Authority</b>	212	212	50,860
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	1,163
Decreases	-	-	(3,309)
<b>Total, Adjustments-to-Base</b>	-	-	(2,146)
<b>FY 2013 Current Services</b>	212	212	48,714
<b>Program Changes</b>	-	-	-
Increases	-	-	6,700
<b>Total, Program Changes</b>	-	-	6,700
<b>FY 2013 Requested Budget Authority</b>	212	212	55,414
<b>FY 2012 to FY 2013 Total Change</b>	-	-	4,554

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Office of the Chief Financial Officer	212	212	50,860	-	-	(2,146)	-	-	6,700	212	212	55,414	-	-	4,554
<b>Total</b>	<b>212</b>	<b>212</b>	<b>50,860</b>	<b>-</b>	<b>-</b>	<b>(2,146)</b>	<b>-</b>	<b>-</b>	<b>6,700</b>	<b>212</b>	<b>212</b>	<b>55,414</b>	<b>-</b>	<b>-</b>	<b>4,554</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Financial Officer  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Office of Director of National Intelligence	1	1	132	1	1	145	1	1	145	-	-	-
Transportation Security Authority	-	-	-	-	-	250	-	-	-	-	-	(250)
U.S. Customs and Border Protection	-	-	-	-	-	250	-	-	-	-	-	(250)
<b>Total Budgetary Resources</b>	<b>1</b>	<b>1</b>	<b>132</b>	<b>1</b>	<b>1</b>	<b>645</b>	<b>1</b>	<b>1</b>	<b>145</b>	<b>-</b>	<b>-</b>	<b>(500)</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Office of the Chief Financial Officer	1	1	132	1	1	645	1	1	145	-	-	(500)
<b>Total Obligations</b>	<b>1</b>	<b>1</b>	<b>132</b>	<b>1</b>	<b>1</b>	<b>645</b>	<b>1</b>	<b>1</b>	<b>145</b>	<b>-</b>	<b>-</b>	<b>(500)</b>

## E. Summary of Requirements By Object Class

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	19,194	22,605	22,847	242
11.3 Other than full-time permanent	330	341	352	11
11.5 Other personnel compensation	582	603	622	19
12.1 Benefits	5,679	5,861	6,043	182
<b>Total, Personnel and Other Compensation Benefits</b>	<b>25,785</b>	<b>29,410</b>	<b>29,864</b>	<b>454</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	37	38	29	(9)
23.1 GSA rent	2,794	2,935	2,746	(189)
23.2 Other rent	66	68	68	-
24.0 Printing	28	29	29	-
25.1 Advisory and assistance services	14,659	34,742	16,475	(18,267)
25.2 Other services	663	684	684	-
25.3 Purchases from Gov't acct.	4,739	4,839	5,028	189
25.4 O&M of facilities	142	147	147	-
25.7 Operation and maintenance of equipment	216	223	223	-
26.0 Supplies and materials	150	155	120	(35)
31.0 Equipment	1	1	1	-
<b>Total, Other Object Classes</b>	<b>23,495</b>	<b>43,861</b>	<b>25,550</b>	<b>(18,311)</b>
<b>Total, Direct Obligations</b>	<b>49,280</b>	<b>73,271</b>	<b>55,414</b>	<b>(17,857)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(22,411)	-	22,411
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(22,411)</b>	<b>-</b>	<b>22,411</b>
<b>Total Requirements</b>	<b>49,280</b>	<b>50,860</b>	<b>55,414</b>	<b>4,554</b>
<b>Full Time Equivalents</b>	<b>183</b>	<b>212</b>	<b>212</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Financial Officer  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	11	11	11	-
Total, EX	-	1	1	-
GS-15	32	31	31	-
GS-14	79	81	81	-
GS-13	27	28	28	-
GS-12	12	12	12	-
GS-11	8	10	10	-
GS-9	12	19	19	-
GS-7	12	15	15	-
GS-6	1	1	1	-
GS-5	2	3	3	-
<b>Total Permanent Positions</b>	<b>196</b>	<b>212</b>	<b>212</b>	<b>-</b>
Unfilled Positions EOY	13	-	-	-
Total Permanent Employment EOY	183	212	212	-
Headquarters	196	212	212	-
<b>Total, Office of the Chief Financial Officer</b>	<b>196</b>	<b>212</b>	<b>212</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>183</b>	<b>212</b>	<b>212</b>	<b>-</b>
Average ES Salary	162,475	165,238	165,238	-
Average GS Salary	104,534	113,775	116,392	2,617
Average Grade	13	14	14	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

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

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	19,194	22,605	22,847	242
11.3 Other than full-time permanent	330	341	352	11
11.5 Other personnel compensation	582	603	622	19
12.1 Benefits	5,679	5,861	6,043	182
<b>Total, Personnel and Compensation Benefits</b>	<b>25,785</b>	<b>29,410</b>	<b>29,864</b>	<b>454</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	37	38	29	(9)
23.1 GSA rent	2,794	2,935	2,746	(189)
23.2 Other rent	66	68	68	-
24.0 Printing	28	29	29	-
25.1 Advisory and assistance services	14,659	34,742	16,475	(18,267)
25.2 Other services	663	684	684	-
25.3 Purchases from Gov't accts.	4,739	4,839	5,028	189
25.4 O&M of facilities	142	147	147	-
25.7 Operation and maintenance of equipment	216	223	223	-
26.0 Supplies and materials	150	155	120	(35)
31.0 Equipment	1	1	1	-
<b>Total, Other Object Classes</b>	<b>23,495</b>	<b>43,861</b>	<b>25,550</b>	<b>(18,311)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(22,411)	-	22,411
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(22,411)</b>	<b>-</b>	<b>22,411</b>
<b>Total Requirements</b>	<b>49,280</b>	<b>50,860</b>	<b>55,414</b>	<b>4,554</b>
<b>Full Time Equivalents</b>	<b>183</b>	<b>212</b>	<b>212</b>	<b>-</b>

### Office of the Chief Financial Officer Mission Statement

The mission of the Office of the Chief Financial Officer (OCFO) is to provide guidance and oversight of the Department's budget, financial management, investment review, and resource management systems to ensure funds necessary to carry out the Department's mission are obtained, allocated, and expended in accordance with the Department's priorities and relevant law and policies.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	19,194	22,605	22,847	242
11.3 Other than full-time permanent	330	341	352	11
11.5 Other personnel compensation	582	603	622	19
12.1 Benefits	5,679	5,861	6,043	182
<b>Total, Salaries &amp; Benefits</b>	<b>25,785</b>	<b>29,410</b>	<b>29,864</b>	<b>454</b>

Salaries and Benefits includes costs for 212 FTEs. The FY 2013 request includes an increase \$106,000 for the annualization of 1 FTP for the FY2012 SAPCO enhancement, the FY 2013 pay increase, and a decrease of \$10,000 in Overtime Costs due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$37</b>	<b>\$38</b>	<b>\$29</b>	<b>-\$9</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request includes a decrease of \$9,000 due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$2,794</b>	<b>\$2,935</b>	<b>\$2,746</b>	<b>-\$189</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request includes a decrease for Working Capital Fund expenditures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$14,659</b>	<b>\$34,742</b>	<b>\$16,475</b>	<b>-\$18,267</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a decrease due to management efficiencies, reduced contract funding, and a decrease due to FY 2011 Carryover funding from the Financial Systems Modernization effort (formerly known as TASC) being consumed in FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$4,739</b>	<b>\$4,839</b>	<b>\$5,028</b>	<b>\$189</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes an increase for Working Capital Fund expenditures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$150	\$155	\$120	-\$35

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request includes a reduction due to management efficiencies.

## I. Changes In Full Time Equivalent

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>173</b>	<b>183</b>	<b>212</b>
<b>Increases</b>			
Annualization of FY2012 Enhancement SAPCO	-	0	0
Annualization of DHS Balanced Workforce Strategy	10	27	-
Right-sizing	-	1	-
<b>Subtotal, Increases</b>	<b>10</b>	<b>28</b>	<b>0</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>183</b>	<b>212</b>	<b>212</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>10</b>	<b>28</b>	<b>0</b>



**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**  
 FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
 (Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Office of the Chief Financial Officer	\$7,841	\$8,432	\$9,399	\$966
<b>Total Working Capital Fund</b>	<b>7,841</b>	<b>8,432</b>	<b>9,399</b>	<b>966</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

OFFICE OF THE CHIEF FINANCIAL OFFICER requests \$0.0, 0 FTP, and 0 FTE for the FY 2013 DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Enacted		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Financial Specialist	12	6	5	9	-	-	-	-	-	-	17	15
Program Analyst	6	3	2	4	-	-	-	-	-	-	8	7
Staff Accountant	20	10	8	14	-	-	-	-	-	-	28	24
<b>Total</b>	<b>38</b>	<b>19</b>	<b>15</b>	<b>27</b>	-	-	-	-	-	-	<b>53</b>	<b>46</b>

**FY 2013 DHS Balanced Workforce Strategy**

OCFO requests 0 FTP and 0 FTE for the FY 2013 DHS Balanced Workforce Strategy.

**Annualization of FY 2012 Enacted DHS Balanced Workforce Strategy**

No additional funding will be required for the annualization of the FY 2011 or FY 2012 Balanced Workforce Strategy.

**DHS Balanced Workforce Strategy Follow-On**

N/A

# Department of Homeland Security

*Departmental Management and Operations*  
*Office of the Chief Information Officer*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Departmental Management and Operations Office of the Chief Information Officer**

## **I. Appropriation Overview**

### **A. Mission Statement for Office of the Chief Information Officer:**

The Department of Homeland Security (DHS) Office of the Chief Information Officer (OCIO), in collaboration with the DHS Chief Information Officer Council, is responsible for implementing the programs necessary to align DHS's Information Technology (IT) personnel, resources, and assets, including all systems and infrastructure, to support Department-wide missions and activities. OCIO's mission is to provide DHS and its partners with the IT services required to lead a unified national effort to prevent and deter terrorist attacks as well as protect against and respond to threats and hazards to the Homeland.

The Department's goals and priorities will advance IT capabilities and services as follows:

- Establish secure IT services and capabilities to protect the Homeland and enhance our Nation's preparedness, mitigation, and recovery capabilities.
- Strengthen and unify the Department's ability to share information and services internally and with Federal, State, local, tribal, international, and private industry partners.
- Improve IT service and program performance, transparency, accountability, and efficiencies through effective governance and enterprise architecture (EA).
- Develop and implement a comprehensive approach to IT employee recruitment, development, retention, and recognition to ensure that the right personnel and skill sets are in place to achieve Department-wide excellence in IT delivery.

These goals directly align to the Office of Management and Budget's (OMB) *25 Point Implementation Plan to Reform Federal Information Technology Management*. Specifically, the DHS CIO is committed to implementing modular system development, improving performance on IT programs, implementing a "Cloud First" policy, and reducing the number of Federal data centers. As a result, DHS has implemented OMB's TechStat review process for troubled IT programs. This process has improved the transparency of program health across the Department and is focused on identifying program risks and failures and taking corrective action in alignment with the tenets of IT reform. OCIO is driving consolidation of commodity IT, in particular IT infrastructure. Based on this consolidation activity, the overall Department FY 2013 budget request for IT infrastructure is reduced by 10 percent across all Components.

Per OMB memorandum M-11-29, *Chief Information Officer Authorities*, the role of Agency CIOs are changing from policymaking and infrastructure maintenance to managing by portfolio to deliver IT enterprise-wide solutions. The DHS CIO is directed to drive program and portfolio governance by developing and executing an investment review process and eliminating

duplicative investments across the Department. The OCIO is also responsible for implementing an enterprise information security program to protect sensitive mission data through continuous monitoring, developing an enhanced risk assessment process, and conducting CyberStat reviews. OCIO is also committed to recruiting talented, capable IT program managers that are held accountable for the performance of IT programs.

## **B. Budget Activities:**

OCIO activity functions are divided into four major Programs, Projects, and Activities (PPAs):

### **Salaries and Expenses**

Salaries and Expenses is a crosscutting program that provides executive leadership, technology management, and support acquisition and financial functions to all offices within the OCIO. It covers payments for shared services consumed, such as rent, mail services, contracting support, and financial management support received from other management chiefs' offices. Salaries and Expenses covers the IT security function, which sets IT security policy, and provides security architecture, certification and accreditation (C&A) remediation, Federal Information Security Management Act (FISMA) compliance and oversight, operations and maintenance (O&M) for legacy infrastructure and new infrastructure investments, and IT awareness and training programs. Salaries and Expenses includes the Office of Accessible Systems and Technology (OAST), which provides guidance and oversight to all DHS Components on implementing and maintaining initiatives to ensure electronic and technological information is accessible to DHS employees and customers with disabilities. Effective in FY 2012, all OCIO FTE are accounted for in the Salaries and Expenses PPA.

### **Information Technology Services**

Information Technology Services (ITS) supports development, implementation, and maintenance of IT functional services, including enterprise architecture (EA), enterprise data management, information sharing, IT strategic policy and planning, performance measurement, capital planning and investment control (CPIC), and program/portfolio management. It also covers geospatial technologies, application delivery, enterprise hosting, and portal consolidation.

### **Infrastructure and Security Activities**

Infrastructure and Security Activities (ISA) are a set of IT projects that provide integration and protection of sensitive DHS information. In FY 2013, the DHS OCIO will continue to consolidate disparate data centers into two DHS Data Centers and multiple disparate networks into DHS OneNet. ISA funds manage infrastructure support, which includes support for network and data center services and DHS Component enterprise applications. ISA also provides funds to maintain Trusted Internet Connection (TIC) capability and move all network traffic behind the TIC. The DHS OCIO's immediate and long-term goal is to protect the Department's IT resources from cyber threats, provide One DHS Infrastructure platform, and foster information sharing across the Department and with external stakeholders, such as Federal, State, and local government agencies and their partners.

### **Homeland Secure Data Network**

The Homeland Secure Data Network (HSDN) is a single program within DHS that enables agencies to collaborate and communicate effectively at a SECRET-classified level among Federal and State governments and supporting entities. HSDN provides the capabilities to enable DHS to electronically collect, disseminate, and exchange both tactical and strategic SECRET-level information throughout DHS and between DHS and its partners.

### **C. Budget Request Summary:**

The OCIO requests \$312.643M and 283 FTP/283 FTE for the FY 2013 Budget. The total net Adjustments-to-Base is a decrease of \$79.454M, and a net increase of 9 FTP/12 FTE. The Adjustments-to-Base are as follows:

- Transfer from OCAO of the Records, Forms & Printing function; \$2.010M and 9 FTP/FTE.
- Annualization of 3 FTE for the Acquisition Workforce Strategy and OAST for an increase of \$0.759M.
- Increase of \$0.200M for FY 2013 pay raise.
- Decrease of \$70.0M in non-recurring data center migration costs.
- Decrease of \$12.423M through efficiencies (to include Advisory and Assistance services and the Operation and Maintenance of Equipment).



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)**  
Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012 <sup>1</sup>			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Salaries and Expenses	195	140	86,657	274	271	105,500	283	283	120,670	9	12	15,170	-	-	-	9	12	15,170
Information Technology Services	74	72	55,423	-	-	38,800	-	-	28,002	-	-	(10,798)	-	-	-	-	-	(10,798)
Infrastructure and Security Activities	-	-	163,005	-	-	139,000	-	-	121,839	-	-	(17,161)	-	-	64,797	-	-	(81,958)
Homeland Secure Data Network	5	5	47,257	-	-	44,000	-	-	42,132	-	-	(1,868)	-	-	-	-	-	(1,868)
<b>Total, Office of the Chief Information Officer (OCIO)</b>	<b>274</b>	<b>217</b>	<b>352,341</b>	<b>274</b>	<b>271</b>	<b>327,300</b>	<b>283</b>	<b>283</b>	<b>312,643</b>	<b>9</b>	<b>12</b>	<b>(14,657)</b>	<b>-</b>	<b>-</b>	<b>64,797</b>	<b>9</b>	<b>12</b>	<b>(79,454)</b>
Subtotal, Enacted Appropriations and Budget Estimates	274	217	352,341	274	271	327,300	283	283	312,643	9	12	(14,657)	-	-	64,797	9	12	(79,454)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>274</b>	<b>217</b>	<b>352,341</b>	<b>274</b>	<b>271</b>	<b>327,300</b>	<b>283</b>	<b>283</b>	<b>312,643</b>	<b>9</b>	<b>12</b>	<b>(14,657)</b>	<b>-</b>	<b>-</b>	<b>64,797</b>	<b>9</b>	<b>12</b>	<b>(79,454)</b>

<sup>1</sup> The FY 2012 Enacted Budget includes a \$5 million rescission in unobligated balances for the Office of the Chief Information Officer related to Emerge2.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Chief Information Officer (OCIO)**  
**Salaries and Expenses**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Salaries and Expenses**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>195</b>	<b>140</b>	<b>86,657</b>
<b>2012 Enacted Budget Authority</b>	<b>274</b>	<b>271</b>	<b>105,500</b>
2013 Adjustments-to-Base	9	12	15,170
<b>2013 Current Services</b>	<b>283</b>	<b>283</b>	<b>120,670</b>
<b>2013 Total Requested Budget Authority</b>	<b>283</b>	<b>283</b>	<b>120,670</b>
Total Change 2012 to 2013	9	12	15,170

**PPA: Salaries & Expenses**

The OCIO requests \$120.670 million for this activity. The Adjustments-to-Base include: annualization of Acquisition Workforce and OAST positions, transfer of the Records, Forms & Printing function from the Office of the Chief Administration Officer, realignment of Working Capital Fund OCIO expenses from other OCIO PPAs into Salaries and Expenses, DHS enterprise-wide efficiencies, administrative savings, and a FY 2013 pay raise.

The Adjustments-to-Base are as follows:

- Transfer from OCAO of the Records, Forms & Printing function; \$2.010M and 9 FTP/FTE.
- OCIO WCF realignment from ITS, ISA and HSDN PPAs for an increase of \$17.441M and 0 FTP/FTE in the S&E PPA.
- Annualization of 3 FTE for the Acquisition Workforce Strategy and OAST for an increase of \$0.759M.
- Increase of \$0.200M for FY 2013 pay raise.
- Decrease of \$5.240M for Management Efficiencies.
  - Decrease of \$133K for General TDY and Travel.
  - Decrease of \$108K for purchasing savings.
  - Decrease of \$1K for overtime.
  - Decrease of \$5K for DHS Strategic Sourcing Initiatives.

- Decrease of \$4.993M through efficiencies (to include Advisory and Assistance Services).

## **CURRENT SERVICES PROGRAM DESCRIPTION:**

The Salaries and Expenses PPA provides funds to the following five programs and offices: Information Security, Infrastructure Operations, Applications Operations & Maintenance, Infrastructure Transformation Program Operations, Office of Accessible Systems and Technology.

### **Information Security Program**

Through the Information Security Program, the Chief Information Security Officer (CISO) ensures existence of a secure and trusted computing environment, which enables the Department to use its information systems resources effectively to accomplish the Department's missions.

The Information Security Program ensures protection of sensitive information and allows sharing of all mission-related data. It also ensures compliance with the Federal Information Security Management Act (FISMA) and with National Institute of Standards and Technology (NIST) security policies and requirements. The Information Security Program develops and documents Departmental information security requirements; develops enterprise security management tools; and oversees the implementation of information security systems supporting Departmental Operations.

Specifically, the Information Security Program provides:

- **Security Policy** and guidance to ensure protection of DHS information resources that protect the Homeland. The CISO provides a waiver and exception process to document and manage mitigation of system control weaknesses. The program also develops the Department-wide system configuration guidance that provides baseline security configuration for the Department's hardware and software.
- **Security Architecture** that supports development of secure enterprise information-sharing capabilities and their integration with the DHS Enterprise Architecture Technical Reference Model (TRM), System Engineering Life Cycle (SELC) methodology, and the Capital Planning and Investment Control (CPIC) and acquisition processes. The CISO supports the Department's mission by protecting its information and IT resources (e.g., systems, network resources, and supporting data).
- **Security Strategy** to ensure a secure, reliable, and trusted computing environment for effectively sharing information. The CISO communicates the information security strategic plan to Components, facilitates Cyber Knowledge Management for information reuse and increased efficiency, gathers information security requirements, and drives implementation of the Department's strategic information security plan through coordination between Component information security organizations and the DHS CIO.
- **Compliance and Technology** that includes oversight, measurement, validation, and reporting of information systems security throughout the Department, including management of the FISMA System Inventory, Security Authorizations (SAs) and Plan of Actions and Milestones (POA&Ms), and IT audit management and Federal reporting. This

includes FISMA reporting and the implementation of continuous monitoring for the Department.

- **DHS IT Security Awareness, Training, and Education** to ensure DHS complies with all Federal regulations and OMB and NIST guidance governing IT security training, and Departmental standardization of security training content development.
- **National Security Systems Risk Management** to support risk acceptance and system authorization decisions. The program supports secure integrated operations of classified systems and National Security Information across the Department. It also evaluates the operational risk posture and formulates effective risk management strategies and mitigations.

### **Infrastructure Operations**

Infrastructure Operations (IO) includes initiatives for IT security and continuity operations, providing alternate sites with necessary IT communications capabilities to support emergency operations during periods of activation by the President or the DHS Secretary for Continuity of Operations (COOP).

It is critical that DHS and its Components ensure information residing, created, received, transmitted within, and shared by the Department is secured in a manner compliant with Federal Acts, Memorandums, Circulars, Executive Orders, and Presidential Directives. OCIO has a leadership role in meeting legislative requirements and Executive directives regarding information security and using best practices to ensure the viability of systems supporting DHS business missions. OCIO is also responsible for ensuring systems and accompanying security controls and measures are functional and active, which is accomplished through use of security software residing on the DHS network.

In accordance with *Presidential Decision Directive 67, Federal Continuity Directive 1 (FCD1)* and *Homeland Security Presidential Directive (HSPD)-20: National Continuity Policy*, Federal agencies are mandated to develop COOP plans. A COOP facilitates the performance of, and is crucial to, the business continuity of the Department's critical systems. A COOP functions during an emergency or any other situation that may disrupt normal operation.

### **Applications Operations & Maintenance (AO&M)**

The AO&M Program maintains and oversees the Department's Private Cloud. Services include the development, test, and production environments within both DHS enterprise data centers (EDCs) to support enterprise application services. The AO&M Program provides ongoing O&M of enterprise application services, and implements necessary controls and procedures to enable cost-effective delivery of secure services. AO&M also provides operational support for the Department's first Public Cloud offering, Enterprise Content Delivery as a Service.

### **Infrastructure Transformation Program (ITP) Operations**

The Infrastructure Transformation Program (ITP) is tasked with implementing the Department's vision of One Infrastructure. ITP is a major DHS investment with a Life Cycle Cost Estimate (LCCE) of \$1.84 billion, as detailed in the September 1, 2005, Physical Control Audit. ITP infrastructure improvements enable the Department to remove lag time and complexity in accessing data, create a robust platform on which to quickly launch new capabilities, and provide a cost-effective and reliable

IT infrastructure. This is accomplished by streamlining and standardizing the network environment, minimizing the number of overlapping elements, providing operational and security support, and developing a Department-wide network topology with centralized governance and standardized procedures. DHS infrastructure transformation includes the provision of capabilities to continuously monitor and maintain the DHS IT Infrastructure in an operational and secure state.

ITP Operations support DHS's efforts to optimize IT infrastructure by providing Configuration Management services. Configuration/Change management is an Information Technology Infrastructure Library (ITIL) "Best Practice" and assesses risk related to changes requested or required by ITSO customers or ITSO entities to a "live" IT infrastructure in order to ensure its continued availability, effectiveness and safety. ITP Operations also offset increased O&M charges and previously funded ITP investments incurred while transforming and migrating seven wide area networks (WANs), consolidating Component legacy data centers, and centralizing email.

### **The Office of Accessible Systems & Technology (OAST)**

The OAST Program provides guidance, support, and compliance oversight to DHS Components regarding implementation of Section 508 of the Rehabilitation Act (as amended). This is accomplished by ensuring qualified individuals with disabilities have fair opportunity for employment and access to the information and data necessary to perform their jobs. OAST develops policies, training, and technical assistance best practices to ensure all electronic and information technology (EIT) procured, developed, maintained, or used is accessible to individuals with disabilities.

**Compliance activities include:** Management and oversight of the Web Accessibility and Remediation Program (WARP), Section 508 Acquisition Audit Program, Trusted Agent FISMA (TAF) Section 508 Audit Program, Section 508 Compliance Enterprise Architecture, Infrastructure Change-Control, and other life cycle activities. Oversight activities include conducting compliance reviews, providing technical assistance, and verifying and validating compliance with DHS Section 508 standards. These efforts ensure the following: (1) regular Web accessibility scans are completed and that OAST-approved testing methods are followed; (2) acquisition audits for Section 508 compliance are conducted on a routine basis; (3) IT system owners have appropriately entered the required accessibility information into TAF and uploaded the requisite Section 508 artifacts; (4) Enterprise Architecture Section 508 compliance reviews are conducted; and (5) Section 508 requirements for the DHS SELC are adhered to.

**Service activities include:** Management and oversight of Section 508 compliance for DHS IT Change Management and the Learning Management System (LMS) Accessibility Assessment programs. Oversight activities include conducting EIT accessibility assessments of software, internet applications, telecommunications, multimedia and video, and desktop and portable computers to determine Section 508 compliance. Oversight requires a close working relationship with the Department's LMS managers to ensure e-learning platforms and courses are Section 508 compliant when deployed.

**Management activities include:** Management and oversight of OAST operations, including contract management, strategic planning, and administrative support and operations. The program is also responsible for managing and operating the DHS Accessibility Help Desk, along with training development and delivery and outreach activities. The Accessibility Help Desk

serves as a single point of entry for disability-related services and technical assistance for the Department. The goal of the program is to work collaboratively with existing DHS and Component-level help desks to ensure seamless delivery of IT services for customers with disabilities, including the provision of reasonable accommodations. The OAST training program provides Section 508 awareness with hands-on EIT accessibility testing training for personnel with significant development responsibilities. In addition, the program provides role-based training for relevant Section 508-related stakeholders. The goal is to develop a knowledgeable workforce and culture in compliance with Section 508 accessibility standards.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Chief Information Officer (OCIO)  
 Information Technology Services  
 Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Information Technology Services**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>74</b>	<b>72</b>	<b>55,423</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>38,800</b>
2013 Adjustments-to-Base	-	-	(10,798)
<b>2013 Current Services</b>	-	-	<b>28,002</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>28,002</b>
Total Change 2012 to 2013	-	-	(10,798)

**PPA: Information Technology Services**

The OCIO requests \$28.002 million in FY 2013 for Information Technology Services. The Adjustments-to-Base are for a realignment of the OCIO Working Capital Fund to the Salaries and Expenses PPA for a decrease of \$10.798M.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The IT Services PPA provides funding for the following seven programs:

**Enterprise Architecture (EA)**

EA provides a “blueprint” for systematically defining DHS’s baseline environment, target environment, and transition plan for implementing mission-critical capabilities. The program establishes a Department-wide roadmap to improve mission effectiveness and efficiency, eliminate existing stovepipe systems, and increase system interoperability and information sharing. EA ensures the essential evolution of information systems and the development of a common IT environment.

**Enterprise Data Management**

The Enterprise Data Management Program provides the architecture and governance for utilization of Departmental data assets. The Enterprise Data Management Office (EDMO) establishes the guidance and provides oversight for DHS data policy, data management, and data stewardship. The program supports the development of the Department-wide roadmap for trusted and reliable data to eliminate

existing stovepipe data systems, and increase data systems interoperability and information sharing. Data architecture is the key governance tool to ensure mission needs drive technology investments. Through the use of data architecture practices and the Federal Enterprise Architecture (FEA) Data Reference Model (DRM), EDMO expects to recommend realignment of key IT investments and acquisitions that will reduce maintenance costs of existing systems and drive common requirements for development of centralized services. EDMO will also improve the reporting of data management costs for IT investments in order to demonstrate the value of existing data management efforts and the potential cost savings of improving the data management efforts across DHS.

EDMO holds the primary responsibility for the adoption, training, and implementation of the National Information Exchange Model (NIEM) within the Department. A national program supported by the federal government, NIEM connects communities of people who share a common need to exchange information in order to advance their missions. The NIEM model is applied to support the development and dissemination of enterprise-wide information exchange standards and processes. These standards and processes enable Federal, State, local and tribal jurisdictions to share critical information effectively in emergency situations and support the daily operations of agencies throughout the nation. NIEM enables information reuse, management of information as an enterprise asset, and information sharing. EDMO also supports the NIEM effort through participation on the NIEM Business Architecture Committee and through data harmonization efforts for the DHS-related domains such as screening, immigration, infrastructure protection, emergency management, and intelligence. EDMO is also responsible for documenting the Information sharing and exchange requirements of DHS and maintaining this information in the Enterprise Architecture Information Repository.

In FY 2011, NIEM established the NIEM Cyber domain to enhance cyber information-sharing capabilities and improve the effectiveness of cyber incident response efforts across Federal, State and local government agencies. The NIEM Biometrics domain was also established to enhance national and international biometric data interoperability for law enforcement, homeland security, and counterterrorism programs.

EDMO also acts as the lead for the NIEM Program Management Office (PMO) for the U.S. Government and its State, local, tribal, and international partners. The PMO provides core services such as governance, tools, training, and common processes. The NIEM PMO's executive steering council is led by DHS, Department of Justice, and Department of Health and Human Services. In addition, 13 other Federal departments have reported commitments to use NIEM.

### **Geospatial Management**

The Geospatial Management Office (GMO) serves as the central point of coordination for the alignment and integration of geospatial investments across the Department by providing oversight and guidance to DHS Components for geospatial policy and technology matters. The GMO executes a comprehensive program that enables the effective, collaborative, and integrated application of geospatial capabilities (e.g., infrastructure, software, data, and services). To accomplish these collaborative enterprise capabilities, the GMO established and manages the Department's Geospatial Information Infrastructure (GII) as an enterprise-wide geospatial service, which includes software, geospatial analysis capabilities and common geospatial foundation data for DHS and its HLS stakeholders (e.g., Geospatial as a Service).



The GII enables DHS stakeholders the ability to analyze and visualize specific mission data from a mapping perspective. Such capabilities leverage base geographic data, mission specific data/infrastructure, satellite imagery, geo-coding services, and geo-analytical tools. DHS requires coordinated and, in some cases, consolidated enterprise geospatial solutions for emergency management, law enforcement, and other DHS mission objectives to ensure efficient and cost-effective shared usage of geospatial assets.

GMO participates in the Geospatial Platform interagency collaboration effort that offers a managed portfolio of common geospatial data, services and applications. This portfolio is administered by trusted sources and hosted on a shared infrastructure.

### **Cyber Identity and Credentialing (Smartcard)**

The Cyber Identity and Credentialing (Smartcard) investment supports the DHS Identity, Credential and Access Management (ICAM) Program Management Office (PMO). The ICAM PMO provides enterprise-level coordination and planning to enable the implementation of target state ICAM processes, policies, and technologies including implementing the use the HSPD-12 Smartcard for access to IT networks, systems, and applications; Public Key Infrastructure (PKI); Single Sign-on; and fine-grained access control in support of the DHS information sharing environment. The ICAM PMO is chartered to serve as the departmental focal point for the considerable body of Federal policy, standards, and implementation guidance relating to ICAM. The ICAM PMO responds to several federal-wide and Departmental mandates, directives, goals and objectives including the continued implementation of HSPD-12 defined by OMB Memorandum (M) 11-11 and the DHS Strategic Objective 3.3 to improve cyber security. The ICAM PMO delivers Department-wide leadership and continuity by combining essential coordination between Components, leveraging existing ICAM investments, justifying and providing acquisition oversight for new ICAM investments, and by being internally and externally accountable to meet DHS ICAM statutory obligations, improve our cyber security posture department-wide, and increase mission impact for DHS and our DHS mission partners.

### **Enterprise Application Delivery**

DHS is aggressively moving to a Cloud-based, on-demand set of service offerings as part of Data Center Migration and Defense-in-Depth strategies. The benefits of adopting Cloud-type architectures include, but are not limited to, a reduction in the time-to-market for new capabilities, increased efficiencies by reusing existing capabilities (e.g., platforms, code), enhanced adoption of green technologies, and streamlined governance requirements. Enterprise Application Delivery is leading the transformation through innovation by planning and delivering secure, high-quality enterprise application services for DHS customers as part of the DHS private and public Cloud initiatives. Funding ensures execution of identified DHS OCIO Hardware Platform Interfaces by establishing robust Cloud services and deploying a Department-wide service catalog to enhance the consumer experience for DHS services. These efforts are executed by the DHS Applications Services Council, consisting of DHS Component CIO representatives, who establish capabilities and service-level agreements required to achieve Cloud services.

### **Program Management Support**

The OCIO Enterprise Business Management Office (EBMO) provides program management (PM) services to the OCIO, DHS management, and Component programs to maximize DHS IT program

productivity. EBMO also provides Departmental IT strategic planning, IT performance measurement, IT resource management and analysis, enterprise portfolio governance, IT program governance, IT acquisition review assistance, IT policy and compliance, and IT Program Management support services. The office is currently standing up Department-wide Executive Steering Committees (ESCs) to further enhance program governance. The ESCs are decision-making bodies that serve as hands-on advocates for respective programs. The ESCs roll into a Portfolio Steering Committee (PSC) or a Domain ESC depending on which of the 13 IT portfolios the program belongs.

EBMO provides Capital Planning and Investment Control (CPIC) support to all Components to ensure effective resource allocation across the Department's IT investment portfolios. EBMO is responsible for conducting annual IT Portfolio Reviews, updating the Federal IT Dashboard with monthly cost and schedule and performance data, gathering information for and presenting DHS-led TechStats, submitting annual OMB Exhibit 300s and Exhibit 53s, and conducting Privacy Act initiatives.

### **E-Gov Initiatives**

Under the OCIO EBMO, the Electronic Government (E-Gov) Program coordinates DHS participation in crosscutting, government-wide programs. The Department manages or participates in 22 E-Gov initiatives and lines of business (LoBs) such as Grants Management, Financial Management, and Budget Formulation and Execution. These initiatives seek to drive progress using internet-based technologies, which enable citizens and businesses to interact with the Federal Government more easily and streamlines citizen participation, as well as saves taxpayer dollars. The E-Gov PMO works with OMB and various internal and external stakeholders to ensure the Department remains compliant with E-Gov policies and mandates. E-Gov facilitates implementation of the Open Government Directive to support the government's commitment to increase transparency of data, participation of the public and cross-government collaboration through systems and Web sites such as USAspending.gov, Data.gov, and Performance.gov.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Chief Information Officer (OCIO)  
 Infrastructure and Security Activities  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Infrastructure and Security Activities**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>163,005</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>139,000</b>
2013 Adjustments-to-Base	-	-	(81,958)
<b>2013 Current Services</b>	-	-	<b>57,042</b>
2013 Program Change	-	-	64,797
<b>2013 Total Requested Budget Authority</b>	-	-	<b>121,839</b>
Total Change 2012 to 2013	-	-	(17,161)

**PPA: Infrastructure and Security Activities**

The OCIO requests \$121.839 million for this activity. The Adjustments-to-Base are as follows:

- Decrease of \$4.775M for the OCIO WCF realignment to the Salaries and Expenses PPA.
- Decrease of \$70.0M for the non-recur of Data Center Migration Costs.
- Decrease of \$7.183M through efficiencies (to include Operation and Maintenance of Equipment).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Watch List**

The Watch List Program supports information sharing within DHS for the Terrorist Screening Center's (TSC) database and provides technical integration and collaboration for disseminating data securely with key DHS stakeholders. This program also supports the integration of automated DHS encounter information back to the TSC, which may result in additional data added.

**Information Security & Infrastructure**

The Infrastructure Transformation Program (ITP) is a DHS Level 1 investment that improves the Department's Information Technology (IT) infrastructure by unifying disparate Component information technology networks, platforms, and services to provide a common IT infrastructure across the Department. The program/projects that are funded under Information Security &

Infrastructure (ISI) include Network Services (OneNet), Trusted Internet Connections (TIC), Policy Enforcement Points (PEPs), Email Services, and Data Center Services.

ISI funding ensures that DHS OCIO provides a reliable, resilient, and secure DHS-wide data network that streamlines appropriate sharing and discovery of information within the Department and associated organizations, such as State and local law enforcement agencies. The core of this unified environment is the consolidation of legacy networks into one enterprise-wide, integrated network called OneNet. Major services provided under ISI include:

- DHS OneNet WAN services
- Network and Security Operations Centers (NOC/SOCs)
- Traffic modeling and data analysis
- Internet Protocol (IP) address administration
- Network management
- Access controls

The network operations centers (NOCs)/ SOC centrally oversee DHS's infrastructure systems and network components. Incident response and detection is coordinated and escalated by the NOC/SOC within the network security and computing services groups, depending on the nature of the breach or failure. The NOC/SOC aids in availability and capacity management by providing respective service groups with collected monitoring data.

Email services provide additional and comprehensive communication ability across DHS and to external Federal, State, local, tribal, international, and private sector partners. Email legacy systems will be consolidated within DHS when the Email as a Service (EaaS) capability is deployed at the EDCs in FY 2013. Email services will enable personnel to access critical business communications and are designed to deliver greater security, availability, and reliability. Major email services include a consolidated DHS-wide Global Address List (GAL), a standard email-naming convention, and a DHS-wide email platform.

### **Data Center (DC) Development**

DHS is in the process of consolidating the Department's legacy data centers into two Enterprise Data Centers, known as DC1 and DC2, in alignment with the Federal Data Center Consolidation Initiative. Support at the EDCs includes management and control of DC hardware, operating systems software, and environmental systems. In addition, both EDCs are prepared to support a higher density virtual environment from both an infrastructure and managed-service perspective. The EDCs support the delivery of private cloud and "as-a-service" offerings to customers seeking a scalable and secure virtual environment of configurable computing resources that can be rapidly provisioned with minimal cost of ownership. DC1 and DC2 have the ability to continuously synchronize applications based upon mission requirements. The purpose of EDC consolidation is to ensure DHS has a seamless disaster recovery capability and to significantly enhance the cyber security posture of DHS systems. DHS EDC capabilities provide personnel the tools to successfully and efficiently manage service delivery and support activities. When migrations to the EDCs are complete, DHS anticipates significant overall cost avoidance to exceed hundreds of millions of dollars after the 'Break Even' as projected in FY 2020. Cumulative cost avoidance from FY 2019 thru FY 2030 could approximate \$2.8 billion.

Major services provided by DC1 and DC2 include capacity and availability management, system management and administration, hardware/software maintenance, facility monitoring, security management, and disaster recovery management and testing.

The Infrastructure & Security Activities PPA funds EDC consolidation and OCIO assistance to Components migrating legacy data centers to the EDCs. The Data Center Development program focuses on building capabilities at both DHS data centers.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Chief Information Officer (OCIO)  
 Homeland Secure Data Network  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Homeland Secure Data Network**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>5</b>	<b>5</b>	<b>47,257</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>44,000</b>
2013 Adjustments-to-Base	-	-	(1,868)
<b>2013 Current Services</b>	-	-	<b>42,132</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>42,132</b>
Total Change 2012 to 2013	-	-	(1,868)

**PPA: Homeland Secure Data Network**

The OCIO requests \$42.132 million for the Homeland Secure Data Network (HSDN) activity. The Adjustments-to-Base are for a realignment of the OCIO Working Capital Fund to the Salaries and Expenses PPA for a decrease of \$1.868M.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Homeland Secure Data Network**

HSDN enables agencies to collaborate and communicate effectively at the collateral SECRET-classification level. With HSDN capabilities, DHS can collect, disseminate, and exchange both tactical and strategic SECRET-level information throughout the Department and among Homeland Security partners including Federal, State, local, tribal, territorial and private entities. In addition, HSDN is the primary means for communicating classified information with the national network of State and Major Urban Area Fusion Centers.

HSDN has established 321 sites, comprised of 3,145 workstations, across the United States. The program has established user accounts for approximately 6,886 end-users who currently log on and exchange information across both HSDN and the broader SECRET-level community in performing daily missions. HSDN currently operates continuous—24 hours a day, 7 days a week, 52 weeks a year—system-wide capabilities.

These capabilities include the classified NOC and SOC, four-tiered helpdesk, DCs, system-wide telecommunications backbone, and enterprise applications, including office email and messaging in support of end-user mission requirements.

### **Communications Security**

The Homeland Security Communications Security (COMSEC) Central Office of Record (COR) was established in accordance with national policy as delineated in the interagency *Committee on National Security Systems Instruction (CNSSI) 4005*. The DHS Management Directive 4300B provides guidance for administering the National Security Policies required to provide for accounting, safeguarding, and management control over COMSEC keying material, controlled cryptographic items, and secure communications equipment. The COR provides consolidated COMSEC accounting services and training, and assists in acquisition and maintenance of COMSEC equipment for the Department. Additionally, the COR develops and publishes policy and procedures for the operation and use of COMSEC equipment and cryptographic keying material within DHS, ensuring compliance with National and Departmental policies and procedures.

To comply with the joint DOD and National Security Agency (NSA) Crypto Modernization program, DHS continues to migrate legacy encryptors and COMSEC accounting infrastructure. The transition to modern cryptographic equipment and account management includes systems such as the Network-Centric Key Management Infrastructure (KMI) and the COMSEC Accounting, Reporting Distribution System (CARDS), both of which are emerging and critical components of the Global Information Grid. This migration is essential to afford DHS the opportunity to automate, streamline, and restructure the COMSEC distribution and accounting infrastructure. These improvements will establish a stronger core of subject matter experts within the DHS COMSEC community, resulting in the more efficient use of our most valuable resource, DHS personnel.

## IV. Program Justification Changes

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (CIO)  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Increase 1:** Data Center Migration  
PPA: Infrastructure and Security Activities  
Program Increase: Positions 0, FTE 0, Dollars \$64,797

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	64,797
<b>Total Request</b>	-	-	<b>121,286</b>	-	-	<b>70,000</b>	-	-	<b>64,797</b>

### Description of Item

OCIO requests \$64.797M to fully complete the data center migration activities for CBP, TSA, and USCIS. Data Center (DC) Migration provides funding to Components to consolidate data center environments into the two enterprise-wide DHS data centers. DHS is committed to the integration, consolidation, and the transformation of individual Component infrastructures into a more efficient and more secure world-class IT infrastructure capable of supporting the significant demands required of an organization of more than 200,000 employees.

At the completion of the migration effort, Components will relocate their existing or new applications to the two data centers occupying a number of racks in the data centers and paying for the charges associated with this occupancy. The recurring O&M costs for operating the two enterprise-wide data centers will be administered through the DHS – wide Working Capital Fund beginning in FY 2013.

### Justification

The purpose of this request is to continue execution of the planned timeline to migrate Component information systems, applications and disaster recovery facilities to the DHS Enterprise DCs. This will enable continued closures of the major Component data centers and achieve the Secretary’s goal of the Department’s consolidation to two data centers across the enterprise.

The transition to the DHS Enterprise DC architecture is standardizing IT resource acquisitions across all DHS Components, as well as streamlining the maintenance and support contracts, allowing for less complex vendor support and expediting response times during emergencies. Benefits derived from the transition to the DHS Enterprise DCs include increased security, enhanced operability, and long-term



cost avoidances. DHS is placing information systems behind Trusted Internet Connections, thus removing exposure of essential functions to those that would exploit weaknesses. Migration makes technologies available as easily ordered services and provides for DHS-wide standardization.

### **Impact on Performance**

This funding allows the closure of CBP's Newington Data Center, TSA's Transportation Threat Assessment and Credentialing (TTAC) facilities, and USCIS's Technology Engineering Consolidation Center (TECC) facility to be completed on schedule. It enables the OCIO to manage funding on IT infrastructure investment and operations and maintenance in support of the Department's front-line operations as well as assurance of meeting the DHS's contractual liabilities to the managed service providers.

Completing these migrations will eliminate further investments by the Components in legacy data centers operations, including continuity of operations, maintenance, support, security certification and accreditation. The Department's current projection for cost avoidance is \$2.8 billion through FY 2030. An extended migration timeline will result in concurrent costs to fund both old and new data centers while the completion of DHS Enterprise data centers reduces the number and cost of Federal data centers, associated energy costs, and physical space allocations, in concert with a transition to cloud computing.

This action also directly supports OMB's Federal Data Center Consolidation Initiative to promote the use of Green IT by reducing the overall energy and real estate footprint of government data centers; reduce the cost of data center hardware, software and operations; increase the overall IT security posture of the government; and shift IT investments to more efficient computing platforms and technologies.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For necessary expenses of the Office of the Chief Information Officer, as authorized by section 103 of the Homeland Security Act of 2002 (6 U.S.C. 113), and Department-wide technology investments, \$247,846,000; of which \$120,670,000 shall be available for salaries and expenses; and of which \$127,176,000, to remain available until September 30, 2015, shall be available for development and acquisition of information technology equipment, software, services, and related activities for the Department of Homeland Security: Provided, That in addition to the amounts provided herein, \$64,797,000 shall be available for data center migration.*

Explanation of Changes: Data Center Migration activities will be funded within the OCIO Appropriation.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>274</b>	<b>217</b>	<b>352,341</b>
<b>FY 2012 Enacted Budget Authority<sup>2</sup></b>	<b>274</b>	<b>271</b>	<b>327,300</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer of Records, Forms & Printing from OCAO	9	9	2,010
WCF Realignment from ITS, ISA, and HSDN PPAs	-	-	17,441
WCF Realignment to S&E PPA	-	-	(17,441)
<b>Total, Transfers</b>	<b>9</b>	<b>9</b>	<b>2,010</b>
<b>Increases</b>	-	-	-
Annualization of FY12 FTE (Acquisition Workforce Strategy and OAST)	-	3	759
FY2013 Pay Increase	-	-	200
<b>Total, Increases</b>	-	<b>3</b>	<b>959</b>
<b>Decreases</b>	-	-	-
Management Efficiencies	-	-	(12,423)
Non-Recur of Data Center Migration Costs	-	-	(70,000)
<b>Total, Decreases</b>	-	-	<b>(82,423)</b>
<b>Total, Adjustments-to-Base</b>	<b>9</b>	<b>12</b>	<b>(79,454)</b>
<b>FY 2013 Current Services</b>	<b>283</b>	<b>283</b>	<b>247,846</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Data Center Migration	-	-	64,797
<b>Total, Increases</b>	-	-	<b>64,797</b>
<b>Total, Program Changes</b>	-	-	<b>64,797</b>
<b>FY 2013 Requested Budget Authority</b>	<b>283</b>	<b>283</b>	<b>312,643</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>9</b>	<b>12</b>	<b>(14,657)</b>

<sup>2</sup> The FY 2012 Enacted Budget includes a \$5 million rescission in unobligated balances for the Office of the Chief Information Officer related to Emerge2.

## C. Summary of Requirements

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	274	217	352,341
<b>FY 2012 Enacted Budget Authority<sup>3</sup></b>	274	271	327,300
<b>Adjustments-to-Base</b>	-	-	-
Transfers	9	9	2,010
Increases	-	3	959
Decreases	-	-	(82,423)
<b>Total, Adjustments-to-Base</b>	9	12	(79,454)
<b>FY 2013 Current Services</b>	283	283	247,846
<b>Program Changes</b>	-	-	-
Increases	-	-	64,797
<b>Total, Program Changes</b>	-	-	64,797
<b>FY 2013 Requested Budget Authority</b>	283	283	312,643
<b>FY 2012 to FY 2013 Total Change</b>	9	12	(14,657)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Salaries and Expenses	274	271	105,500	9	12	15,170	-	-	-	283	283	120,670	9	12	15,170
Information Technology Services	-	-	38,800	-	-	(10,798)	-	-	-	-	-	28,002	-	-	(10,798)
Infrastructure and Security Activities	-	-	139,000	-	-	(81,958)	-	-	64,797	-	-	121,839	-	-	(17,161)
Homeland Secure Data Network	-	-	44,000	-	-	(1,868)	-	-	-	-	-	42,132	-	-	(1,868)
<b>Total</b>	274	271	327,300	9	12	(79,454)	-	-	64,797	283	283	312,643	9	12	(14,657)

<sup>3</sup> The FY 2012 Enacted Budget includes a \$5 million rescission in unobligated balances for the Office of the Chief Information Officer related to Emerge2.

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Analysis and Operations	-	-	351	-	-	-	-	-	-	-	-	-
Customs and Border Protection	-	-	18,397	3	3	11,098	3	3	11,098	-	-	-
Department of Agriculture	-	-	-	-	-	200	-	-	200	-	-	-
Department of Health and Human Services	-	-	-	-	-	1,000	-	-	1,000	-	-	-
Director of National Intelligence	-	-	1,775	-	-	600	-	-	600	-	-	-
Domestic Nuclear Detection Office	-	-	1,438	-	0	1,019	-	0	1,019	-	-	-
Federal Emergency Management Agency	-	-	11,179	5	4	15,285	5	4	15,285	-	-	-
Federal Law Enforcement Training Center	-	-	3,778	-	-	7	-	-	7	-	-	-
Immigration and Customs Enforcement	-	-	29,853	7	6	21,527	7	6	21,527	-	-	-
National Oceanic and Atmospheric Administration	-	-	50	-	-	-	-	-	-	-	-	-
National Protection and Program Directorate (NPPD)	-	-	9,024	2	2	22,389	2	2	22,389	-	-	-
Office of Health Affairs	-	-	106	-	-	106	-	-	106	-	-	-
Office of Navy Intelligence	-	-	-	-	-	200	-	-	200	-	-	-
Office of Operations and Coordination	-	-	3,171	-	0	428	-	0	428	-	-	-
Science and Technology	-	-	810	-	-	28	-	-	28	-	-	-
Transportation Security Administration	-	-	29,387	4	4	14,001	4	4	14,001	-	-	-
US Coast Guard	-	-	2,469	-	-	-	-	-	-	-	-	-
US VISIT	-	-	7,492	10	9	31,196	10	9	31,196	-	-	-
United States Citizenship and Immigration Services	-	-	8,980	3	3	12,388	3	3	12,388	-	-	-
United States Secret Service	-	-	22	-	-	19	-	-	19	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>128,282</b>	<b>34</b>	<b>31</b>	<b>131,491</b>	<b>34</b>	<b>31</b>	<b>131,491</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Information Technology Services	-	-	5,564	-	-	6,508	-	-	6,508	-	-	-
Infrastructure and Security Activities	-	-	23,347	-	-	-	-	-	-	-	-	-
Salaries and Expenses	-	-	99,371	34	31	124,983	34	31	124,983	-	-	-
<b>Total Obligations</b>	-	-	<b>128,282</b>	<b>34</b>	<b>31</b>	<b>131,491</b>	<b>34</b>	<b>31</b>	<b>131,491</b>	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	24,870	37,978	41,414	3,436
11.3 Other than full-time permanent	527	248	260	12
11.5 Other personnel compensation	733	485	509	24
11.8 Special Service Pay	183	183	183	-
12.1 Benefits	7,476	7,588	9,192	1,604
<b>Total, Personnel and Other Compensation Benefits</b>	<b>33,789</b>	<b>46,482</b>	<b>51,558</b>	<b>5,076</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	654	592	1,020	428
22.0 Transportation of things	-	-	175	175
23.1 GSA rent	6,833	7,278	7,729	451
23.2 Other rent	111	-	-	-
23.3 Communications, utilities, and misc. charges	-	1,101	1,101	-
24.0 Printing	68	68	76	8
25.1 Advisory and assistance services	58,332	67,390	54,623	(12,767)
25.2 Other services	1,166	5,851	5,625	(226)
25.3 Purchases from Gov't accts.	29,289	17,032	29,357	12,325
25.4 O&M of facilities	168	3,911	6,115	2,204
25.6 Medical care	30	30	34	4
25.7 Operation and maintenance of equipment	197,786	169,321	149,743	(19,578)
25.8 Subsistence & Support of persons	-	1,724	1,374	(350)
26.0 Supplies and materials	644	423	698	275
31.0 Equipment	23,472	6,097	3,415	(2,682)
<b>Total, Other Object Classes</b>	<b>318,553</b>	<b>280,818</b>	<b>261,085</b>	<b>(19,733)</b>
<b>Total, Direct Obligations</b>	<b>352,342</b>	<b>327,300</b>	<b>312,643</b>	<b>(14,657)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>352,342</b>	<b>327,300</b>	<b>312,643</b>	<b>(14,657)</b>
<b>Full Time Equivalents</b>	<b>217</b>	<b>271</b>	<b>283</b>	<b>12</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	8	8	8	-
GS-15	95	95	97	2
GS-14	98	98	101	3
GS-13	50	50	53	3
GS-12	19	19	20	1
GS-11	3	3	3	-
GS-3	1	1	1	-
<b>Total Permanent Positions</b>	<b>274</b>	<b>274</b>	<b>283</b>	<b>9</b>
Unfilled Positions EOY	57	3	-	(3)
Total Permanent Employment EOY	217	274	283	9
Headquarters	274	274	283	9
<b>Total, Office of the Chief Information Officer (OCIO)</b>	<b>274</b>	<b>274</b>	<b>283</b>	<b>9</b>
<b>Full Time Equivalents</b>	<b>217</b>	<b>271</b>	<b>283</b>	<b>12</b>
Average ES Salary	170,841	174,770	178,790	4,020
Average GS Salary	111,217	113,775	116,392	2,617
Average Grade	14	14	14	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**



## H. PPA Budget Justifications

**Department of Homeland Security  
Departmental Management and Operations  
Office of the Chief Information Officer (OCIO)  
Salaries and Expenses  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	17,233	37,978	41,414	3,436
11.3 Other than full-time permanent	237	248	260	12
11.5 Other personnel compensation	564	485	509	24
11.8 Special Service Pay	183	183	183	-
12.1 Benefits	5,201	7,588	9,192	1,604
<b>Total, Personnel and Compensation Benefits</b>	<b>23,418</b>	<b>46,482</b>	<b>51,558</b>	<b>5,076</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	636	592	459	(133)
22.0 Transportation of things	-	-	175	175
23.1 GSA rent	6,833	7,278	7,729	451
23.2 Other rent	111	-	-	-
23.3 Communications, utilities, and misc. charges	-	1,101	1,101	-
24.0 Printing	68	68	76	8
25.1 Advisory and assistance services	19,088	23,174	18,067	(5,107)
25.2 Other services	794	549	1,183	634
25.3 Purchases from Gov't accts.	15,810	15,012	29,357	14,345
25.4 O&M of facilities	162	3,911	4,115	204
25.6 Medical care	30	30	34	4
25.7 Operation and maintenance of equipment	5,759	5,156	4,744	(412)
25.8 Subsistence & Support of persons	-	1,724	1,374	(350)
26.0 Supplies and materials	445	423	698	275
31.0 Equipment	13,503	-	-	-
<b>Total, Other Object Classes</b>	<b>63,239</b>	<b>59,018</b>	<b>69,112</b>	<b>10,094</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>86,657</b>	<b>105,500</b>	<b>120,670</b>	<b>15,170</b>
<b>Full Time Equivalents</b>	<b>140</b>	<b>271</b>	<b>283</b>	<b>12</b>

### Salaries and Expenses Mission Statement

The Salaries and Expenses (S&E) PPA is a crosscutting program that provides technology-management, shared services, acquisition strategy, executive leadership support, process development, and business transformation to several offices within the DHS Office of the OCIO.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	17,233	37,978	41,414	3,436
11.3 Other than full-time permanent	237	248	260	12
11.5 Other personnel compensation	564	485	509	24
11.8 Special Service Pay	183	183	183	-
12.1 Benefits	5,201	7,588	9,192	1,604
<b>Total, Salaries &amp; Benefits</b>	<b>23,418</b>	<b>46,482</b>	<b>51,558</b>	<b>5,076</b>

The Salaries and Benefits increase in FY 2013 is largely due to the realignment of salaries from the programs (other PPAs) to be funded centrally from the Salaries and Expenses PPA. In FY 2013 there is a \$1,000 decrease in overtime due to management efficiencies, an increase of \$759,000 due to the annualization of FTE from FY 2012, and an increase due to the transfer of personnel from OCAO.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$636	\$592	\$459	-\$133

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The OCIO realized \$133,000 in travel savings due to management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	0	0	\$175	\$175

The increase of \$175,000 is due to correct alignment of mail transit from object class 25.8 to this object class.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$6,833	\$7,278	\$7,729	\$451

OCIO's rent portion of the Working Capital Fund.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$68	\$68	\$76	\$8

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request includes an increase of \$8,000 due to printing materials for the IT Human Capital Strategic Plan.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$19,088	\$23,174	\$18,067	-\$5,107

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request includes decreases due to DHS Strategic Sourcing Initiatives, and management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$794	\$549	\$1,183	\$634

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes an increase of \$634, 000 due to funding FY 2013 OCIO initiatives such as IT strategic planning.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$15,810	\$15,012	\$29,357	\$14,345

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes an increase due to centralizing all Working Capital Fund costs in the Salaries & Expenses PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$162	\$3,911	\$4,115	\$204

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The increase is due to better align funds based on projected expenditures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$30	\$30	\$34	\$4

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2013 request has an increase of \$4,000 in the costs of Federal Health Clinic shared services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$5,759	\$5,156	\$4,744	-\$412

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a decrease of \$412,000 due to better align funds based on projected expenditures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.8 Subsistence & Support of persons	0	\$1,724	\$1,374	-\$350

The FY 2013 request includes a decrease of \$350,000 due to a decrease in security, configuration, and quality management support, as well as realignment of mail transit services to object class 22.0.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$445	\$423	\$698	\$275

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The increase of \$275,000 is due to increased demand in supplies.

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Chief Information Officer (OCIO)**  
**Information Technology Services**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	5,633	-	-	-
11.3 Other than full-time permanent	265	-	-	-
11.5 Other personnel compensation	106	-	-	-
12.1 Benefits	1,701	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>7,705</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2	-	516	516
25.1 Advisory and assistance services	27,393	23,861	17,763	(6,098)
25.2 Other services	372	5,302	4,442	(860)
25.3 Purchases from Gov't accts.	10,964	2,020	-	(2,020)
25.4 O&M of facilities	6	-	2,000	2,000
25.7 Operation and maintenance of equipment	2,511	4,242	3,281	(961)
26.0 Supplies and materials	98	-	-	-
31.0 Equipment	6,372	3,375	-	(3,375)
<b>Total, Other Object Classes</b>	<b>47,718</b>	<b>38,800</b>	<b>28,002</b>	<b>(10,798)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>55,423</b>	<b>38,800</b>	<b>28,002</b>	<b>(10,798)</b>
<b>Full Time Equivalents</b>	<b>72</b>	-	-	-

**Information Technology Services Mission Statement**

The IT Services PPA supports development, implementation, and maintenance of: a comprehensive and Integrated Enterprise Architecture, the information technology framework for the Department, geospatial technologies, and information sharing.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	5,633	-	-	-
11.3 Other than full-time permanent	265	-	-	-
11.5 Other personnel compensation	106	-	-	-
12.1 Benefits	1,701	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>7,705</b>	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$2	0	\$516	\$516

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request includes an increase of \$516,000 due to programs managing their own travel budgets versus them being centrally funded to gain better transparency of travel expenditures throughout OCIO.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$27,393	\$23,861	\$17,763	-\$6,098

Advisory and assistance services include services acquired by contract from non-Federal sources (the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request includes a net decrease of \$6,098,000. This is a result of decreases in professional services contracts.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$372	\$5,302	\$4,442	-\$860

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The decrease is due to reductions in the Enterprise Application Delivery program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$10,964	\$2,020	0	-\$2,020

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request has a decrease of \$2,020,000 due to the Working Capital Fund realignment to the S&E PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$6	0	\$2,000	\$2,000

The increase of \$2 million is due to realignment of the Office of Accessible Systems and Technology to the ITS PPA from S&E.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$2,511	\$4,242	\$3,281	-\$961

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a decrease of \$961,000 in the Enterprise Application Delivery program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$6,372	\$3,375	0	-\$3,375

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
--	-------------------------------	--	--	------------------------------

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 decrease is due to object class realignment.

**Department of Homeland Security  
 Departmental Management and Operations  
 Office of the Chief Information Officer (OCIO)  
 Infrastructure and Security Activities  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,734	-	-	-
11.3 Other than full-time permanent	25	-	-	-
11.5 Other personnel compensation	56	-	-	-
12.1 Benefits	492	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>2,307</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	16	-	-	-
25.1 Advisory and assistance services	11,316	17,216	15,608	(1,608)
25.7 Operation and maintenance of equipment	145,802	121,784	106,231	(15,553)
31.0 Equipment	3,564	-	-	-
<b>Total, Other Object Classes</b>	<b>160,698</b>	<b>139,000</b>	<b>121,839</b>	<b>(17,161)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>163,005</b>	<b>139,000</b>	<b>121,839</b>	<b>(17,161)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Infrastructure and Security Activities Mission Statement**

Infrastructure and Security Activities (ISA) are a set of IT projects that provides integration and protection of sensitive DHS information. ISA funds manage infrastructure support, which includes support for network and data center services and DHS Component enterprise applications, and also provides funds to maintain Trusted Internet Connection (TIC) capability and move all network traffic behind the TIC.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,734	-	-	-
11.3 Other than full-time permanent	25	-	-	-
11.5 Other personnel compensation	56	-	-	-
12.1 Benefits	492	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>2,307</b>	-	-	-



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$11,316	\$17,216	\$15,608	-\$1,608

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. This decrease of \$1,608,000 is a result of decreased funding for professional service contracts.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$145,802	\$121,784	\$106,231	-\$15,553

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The decrease in FY 2013 is due to non-recurring funding for data center migration and management efficiencies.

**Department of Homeland Security**  
**Departmental Management and Operations**  
**Office of the Chief Information Officer (OCIO)**  
**Homeland Secure Data Network**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	270	-	-	-
11.5 Other personnel compensation	7	-	-	-
12.1 Benefits	82	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>359</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	45	45
25.1 Advisory and assistance services	535	3,139	3,185	46
25.3 Purchases from Gov't accts.	2,515	-	-	-
25.7 Operation and maintenance of equipment	43,714	38,139	35,487	(2,652)
26.0 Supplies and materials	101	-	-	-
31.0 Equipment	33	2,722	3,415	693
<b>Total, Other Object Classes</b>	<b>46,898</b>	<b>44,000</b>	<b>42,132</b>	<b>(1,868)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>47,257</b>	<b>44,000</b>	<b>42,132</b>	<b>(1,868)</b>
<b>Full Time Equivalents</b>	<b>5</b>	-	-	-

**Homeland Secure Data Network Mission Statement**

Homeland Secure Data Network is a classified wide area network for DHS and its components, with specific and controlled interconnections to the intelligence community and federal law enforcement resources.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	270	-	-	-
11.5 Other personnel compensation	7	-	-	-
12.1 Benefits	82	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>359</b>	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	0	0	\$45	\$45

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. To gain better transparency of travel expenditures throughout OCIO, the FY 2013 request includes an increase of \$45,000 due to programs managing their own travel budgets versus them being centrally funded.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	\$535	\$3,139	\$3,185	\$46

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is due to an increase in professional services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$43,714	\$38,139	\$35,487	-\$2,652

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a decrease of \$2,652,000 for HSDN data center services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$33	\$2,722	\$3,415	\$693

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The \$693K increase is for the HSDN technology refresh.

## I. Changes In Full Time Equivalent

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>140</b>	<b>217</b>	<b>271</b>
<b>Increases</b>			
Increase #1: Annualization of Prior Year FTE	77	83	-
Increase #3: Transfer of Records, Forms and Printing from OCAO	-	-	9
Increase #2: Annualization of FY2012 FTE	-	-	3
<b>Subtotal, Increases</b>	<b>77</b>	<b>83</b>	<b>12</b>
<b>Decreases</b>			
Decrease #1: FTE Reduction	-	(29)	-
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(29)</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>217</b>	<b>271</b>	<b>283</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>77</b>	<b>54</b>	<b>12</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Salaries and Expenses	\$25,731	\$38,200	\$35,205	-\$2,995
Information Technology Services	6,451	5,557	0	-5,557
Infrastructure and Security Activities	68,101	72,957	114,411	41,454
Homeland Secure Data Network	0	1,973	0	-1,973
<b>Total Working Capital Fund</b>	<b>100,283</b>	<b>118,687</b>	<b>149,616</b>	<b>30,929</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of Federal employee and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

OCIO requests \$0 and 0 FTE for the FY 2013 DHS Balanced Workforce positions.

Position Type	Office	FY 2011		FY 2012		FY 2012		FY 2012		FY 2013		FY2011 – FY2013	
		Actual		Base		Annualization		Follow On		Increase		DHS Balanced	
		Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
Deputy CISO	CISO	1			1							1	1
Director, Program Compliance Div	CISO	1			1							1	1
Executive Assistant	CISO	1	1									1	1
IT Specialist	CISO	19	19		19							19	38
IT Specialist (INFOSEC)	CISO	29	4		25							29	29
Program Specialist	CISO	3	3									3	3
Technical Writer	CISO	1		1	1							2	1
Executive Assistant	EBMO	2	2									2	2
IT Specialist	EBMO	5	3	5	5							10	8
Management & Program Analyst	EBMO	2	1	2	2							4	3
Supv IT Specialist	EBMO	1	1		1							1	2
Program Manager	EBMO	1	1		1							1	2
Program Manager (OSM)	EBMO	1	1									1	1
IT Specialist	ESDO	5	5									5	5
Program Specialist	ESDO	1	1									1	1
IT Specialist (INFOSEC)	ESDO	2		2	2							4	2
Management & Program Analyst	FO	4	4	4	4							8	8
Executive Assistant	FO	3	3	3	3							6	6
IT Specialist (INFOSEC)	FO	2	2	2	2							4	4
Program Specialist	FO	1	1	1	1							2	2
Executive Assistant	OAST	1	1	1	1							2	2
Program Specialist	OAST	1		1	1							2	1
<b>Total</b>		<b>87</b>	<b>53</b>	<b>22</b>	<b>70</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>109</b>	<b>123</b>

**FY 2013 DHS Balanced Workforce Strategy**

- N/A

**Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

- The FY 2012 base is the enacted amounts for Balance Workforce Strategy.

**DHS Balanced Workforce Strategy Follow-On**

- N/A

# Department of Homeland Security

*Departmental Management and Operations  
DHS Headquarters Consolidation Project*

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Fiscal Year 2013  
Congressional Justification



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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Departmental Management and Operations DHS Headquarters Consolidation Project**

#### **I. Appropriation Overview**

##### **A. Mission Statement:**

The DHS Headquarters (HQ) Consolidation Project is responsible for the co-location of the Department through lease consolidation and build out of the St. Elizabeths campus. The mission of the DHS HQ Consolidation Project is to consolidate HQ and Component executive leadership, operations coordination, policy and program management, and “mission execution” personnel requiring a secure setting at St. Elizabeths to enhance effectiveness. We will optimize the real estate portfolio by increasing utilization efficiency and implementing Flexible Workplace Strategies (FWS) such as telework and alternate work schedule.

The DHS Management Directorate provides coordination, planning, policy, guidance, operational oversight, and innovative solutions for the management needs of the entire Department for the consolidated “One DHS” campus.

The DHS HQ Consolidation project appropriation allows the Department to facilitate better reporting and overall management of the program and provides improved visibility of the ongoing efforts to establish a consolidated DHS Headquarters.

##### **B. Budget Activities:**

#### **DHS Headquarters Consolidation – St. Elizabeths**

The current DHS Headquarters facilities portfolio is scattered in about 55 locations throughout the National Capital Region, many with sub-optimal security protections. To address this challenge, the Department will continue development of a consolidated DHS Headquarters Consolidation in a secure setting at the St. Elizabeths Campus. The co-location of the National Operations Center (NOC) with Component operations centers in a single DHS Operations Center (DOC) facility will enhance command and control functions to better prepare the Department’s response to natural disasters, terrorist attacks, and other emergency events. This integrated approach will allow DHS to effectively communicate, share information, and engage in critical events as they occur.

##### **C. Budget Request Summary:**

The Under Secretary for Management requests 0 positions, 0 FTE, and \$89.0 million for FY 2013 for the DHS Headquarters Consolidation Project to construct the West Access Road, a north-south three-lane arterial roadway that will provide vehicle and pedestrian connections between Gate 4 of the U.S. Coast Guard Headquarters Building and Malcolm X Avenue, as

specified in the Final Master Plan approved by the National Capital Planning Commission in 2009.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Departmental Management and Operations**  
**DHS Headquarters Consolidation Project**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
HQ Consolidation - St. Elizabeths	-	-	77,245	-	-	55,979	-	-	89,000	-	-	33,021	-	-	89,000	-	-	(55,979)
<b>Total, DHS Headquarters Consolidation Project</b>	-	-	<b>77,245</b>	-	-	<b>55,979</b>	-	-	<b>89,000</b>	-	-	<b>33,021</b>	-	-	<b>89,000</b>	-	-	<b>(55,979)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>77,245</b>	-	-	<b>55,979</b>	-	-	<b>89,000</b>	-	-	<b>33,021</b>	-	-	<b>89,000</b>	-	-	<b>(55,979)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>77,245</b>	-	-	<b>55,979</b>	-	-	<b>89,000</b>	-	-	<b>33,021</b>	-	-	<b>89,000</b>	-	-	<b>(55,979)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Departmental Management and Operations**  
**DHS Headquarters Consolidation Project**  
**HQ Consolidation - St. Elizabeths**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: HQ Consolidation - St. Elizabeths**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>77,245</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>55,979</b>
2013 Adjustments-to-Base	-	-	(55,979)
<b>2013 Current Services</b>	-	-	-
2013 Program Change	-	-	89,000
<b>2013 Total Requested Budget Authority</b>	-	-	<b>89,000</b>
Total Change 2012 to 2013	-	-	33,021

The HQ Consolidation – St Elizabeths 0 FTP, 0 FTE, and \$89.0 million for FY 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The DHS mission is to lead a unified national effort to secure America. The mission demands an integrated approach to all hazards. The purpose of the DHS HQ Consolidation project at St. Elizabeths is to consolidate the majority of the Department on a single-site campus, effectively and efficiently support the Department’s mission as organizations mature and new programs develop, reduce facility costs, and provide quality work spaces and other amenities in order to attract and retain the best professional workforce.

The Department is committed to building a new headquarters in the District of Columbia and will continue to work with Congress to move this project forward while maintaining frontline operations. With the funding provided in FY 2011 and FY 2012, DHS will complete Phase 1 construction, which includes: the U.S. Coast Guard headquarters building; perimeter security and utilities improvements necessary to support Coast Guard occupancy; and the adaptive reuse of 6 historic buildings, which will be used to house a campus common use cafeteria, fitness facility and auditorium; as well as a USCG exchange and medical clinic.

In FY 2013, the Department requests funds to construct I-295/Malcolm X Avenue interchange improvements and West Campus access road extension from Gate 4 of the U. S. Coast Guard Headquarters Building to Malcolm X Avenue.

## IV. Program Justification Changes

**Department of Homeland Security  
Departmental Management and Operations  
DHS Headquarters Consolidation Project  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Malcolm X Interchange and Access Road  
PPA: HQ Consolidation - St. Elizabeths  
Program Increase: Positions 0, FTE 0, Dollars \$89,000

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	89,000
<b>Total Request</b>	-	-	<b>77,245</b>	-	-	<b>55,979</b>	-	-	<b>89,000</b>

### Description of Item

The requested funding will be used to construct the West Access Road, a north-south three-lane arterial roadway to provide vehicle and pedestrian connections between Gate 4 of the U.S. Coast Guard Headquarters Building and Malcolm X Avenue. The West Access Road segment from Firth Sterling Avenue southward to Gate 4 is currently under construction and will be completed in conjunction with the Phase 1 development for U.S. Coast Guard occupancy. The requested funding will complete this infrastructure project, expanding access to St. Elizabeths' West Campus and improving traffic flow for visitors and commuters to St. Elizabeths and Joint Base Anacostia-Bolling.

### Justification

This project is necessary to improve the traffic flow along Interstate 295 at the Malcolm X Avenue interchange and provide direct access to the future home of the Department of Homeland Security on the West Campus of St. Elizabeths, which is scheduled for initial occupancy in the spring of 2013.

The campus connection will include roadways as well as a multi-purpose bike and pedestrian pathways.

The project is a collaborative development effort between Federal, DC, and local community partners, including the General Services Administration, the Department of Homeland Security, the Department of Defense, the Federal Highway Administration, the National Park Service, the District of Columbia, the Ward 8 Community, and other regional stakeholders.

### **Impact on Performance**

While transportation needs for initial occupancy of the campus will be met by improvements to the Firth Sterling interchange, the Malcolm X interchange improvements will support the continued development of the St. Elizabeths campus.

Built over 24 months, the project will provide transportation infrastructure necessary for full development of the DHS Consolidated Headquarters on the St. Elizabeths West Campus and is a prerequisite for future construction and occupancy.

The interchange and access road will facilitate campus access for construction traffic and provide multiple routes for emergency access.

The new interchange will enhance traffic flow, providing safe and efficient transportation access minimizing the impacts on local roads and the community at large in and around the Ward 8 community, including Joint Base Anacostia-Bolling.

The direct connections to the broader regional transportation network will support the District and the community's redevelopment efforts on the St. Elizabeths East Campus and other areas within Ward 8.

In addition, the access road will contain a multi-purpose bike and pedestrian pathway, expanding the regional bicycle trail connections to a vast array of existing and planned trails, as part of the Department's commitment to environmental stewardship and minimizing the environmental impact of planned improvements at St. Elizabeths.



## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For necessary expenses directly related to planning, engineering, and constructing transportation-related improvements at the Malcolm X interchange, Shepherd Parkway, and expansion of Martin Luther King Boulevard to facilitate vehicle and pedestrian access to department headquarters at the St. Elizabeths campus, [\$55,979,000] **\$89,000,000**, to remain available until September 30, 2014.*

#### **Explanation of Changes:**

No substantive changes.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Departmental Management and Operations  
DHS Headquarters Consolidation Project  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	-	-	77,245
FY 2012 Enacted Budget Authority	-	-	55,979
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Decreases	-	-	-
Termination of one-time costs	-	-	(55,979)
<b>Total, Decreases</b>	-	-	<b>(55,979)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(55,979)</b>
 FY 2013 Current Services	 -	 -	 -
 Program Changes	 -	 -	 -
Increases	-	-	-
Malcom X Interchange and Access Road	-	-	89,000
<b>Total, Increases</b>	-	-	<b>89,000</b>
<b>Total, Program Changes</b>	-	-	<b>89,000</b>
 FY 2013 Requested Budget Authority	 -	 -	 <b>89,000</b>
 FY 2012 to FY 2013 Total Change	 -	 -	 <b>33,021</b>

## C. Summary of Requirements

**Department of Homeland Security  
Departmental Management and Operations  
DHS Headquarters Consolidation Project  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	77,245
FY 2012 Enacted Budget Authority	-	-	55,979
<b>Adjustments-to-Base</b>	-	-	-
Decreases	-	-	(55,979)
<b>Total, Adjustments-to-Base</b>	-	-	(55,979)
FY 2013 Current Services	-	-	-
<b>Program Changes</b>	-	-	-
Increases	-	-	89,000
<b>Total, Program Changes</b>	-	-	89,000
FY 2013 Requested Budget Authority	-	-	89,000
FY 2012 to FY 2013 Total Change	-	-	33,021

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
HQ Consolidation - St. Elizabeths	-	-	55,979	-	-	(55,979)	-	-	89,000	-	-	89,000	-	-	33,021
<b>Total</b>	-	-	55,979	-	-	(55,979)	-	-	89,000	-	-	89,000	-	-	33,021

**D. Summary of Reimbursable Resources**  
**N/A**

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Departmental Management and Operations  
DHS Headquarters Consolidation Project  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.3 Purchases from Gov't accts.	77,245	55,979	89,000	33,021
<b>Total, Other Object Classes</b>	<b>77,245</b>	<b>55,979</b>	<b>89,000</b>	<b>33,021</b>
<b>Total, Direct Obligations</b>	<b>77,245</b>	<b>55,979</b>	<b>89,000</b>	<b>33,021</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>77,245</b>	<b>55,979</b>	<b>89,000</b>	<b>33,021</b>
<b>Full Time Equivalents</b>	-	-	-	-

**F. Permanent Positions by Grade**  
**N/A**

**G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Departmental Management and Operations  
DHS Headquarters Consolidation Project  
HQ Consolidation - St. Elizabeths  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.3 Purchases from Gov't accts.	77,245	55,979	89,000	33,021
<b>Total, Other Object Classes</b>	<b>77,245</b>	<b>55,979</b>	<b>89,000</b>	<b>33,021</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>77,245</b>	<b>55,979</b>	<b>89,000</b>	<b>33,021</b>
<b>Full Time Equivalents</b>	-	-	-	-

### HQ Consolidation - St. Elizabeths Mission Statement

The purpose of the St. Elizabeths program is to consolidate the majority of the Department into a single site campus to effectively and efficiently support the Department's mission.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$77,245	\$55,979	\$89,000	\$33,021

This project will improve traffic flow along Interstate 295 at the Malcolm X Avenue interchange and provide direct access to the future home of the Department of Homeland Security on the West Campus of St. Elizabeths, which is scheduled for initial occupancy in the spring of 2013.



**I. Changes In Full Time Equivalent**  
**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**  
**N/A**

**K. DHS Balanced Workforce Strategy**  
**N/A**

# Department of Homeland Security

## *Working Capital Fund*

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Fiscal Year 2013  
Congressional Justification

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# BUDGET REQUEST AND SUPPORTING INFORMATION

## Working Capital Fund

### I. Appropriation Overview

#### **A. Mission Statement for Salaries and Expenses:**

To deliver cost-effective support services throughout DHS, the Working Capital Fund (WCF) provides a mechanism for shared service costs to be distributed and recouped, and facilitates the delivery and oversight of shared services.

The WCF supports selected services, activities, and programs that benefit numerous DHS organizational Components. Furthermore, the WCF supports the funding for government-wide initiatives as well as DHS-crosscutting initiatives approved by the Office of Management and Budget (OMB) and Congress. The goal of the Under Secretary for Management is to maintain and operate a fund that promotes economy, efficiency, and accountability and to apply best practices from the public and private sectors for improving organizational performance, operational efficiencies, and ensure full cost recovery of goods and services for selected DHS agency-wide programs, activities, and services. To provide cost-effective support services throughout DHS, the WCF provides a mechanism for shared service costs to be distributed and recouped, and facilitates the delivery and oversight of shared services.

#### **B. Budget Activities:**

The key WCF activities are organized under the five active PPA categories listed below.

##### **Fee for Service Activities**

DHS WCF activity managers provide or coordinate delivery of a specific service or benefit to DHS Components. The benefit/cost for providing the WCF activity is tangible and is directly linked to a Component's use of services or products. An example of a fee for service activity is print and electronic access subscription services through the Library of Congress's FEDLINK. These WCF activities are reimbursed for the provision of services, and have characteristics typical of a business enterprise. The costs for operating the "business" are reimbursed by billing customers for the provision of goods and services at rates that are pre-approved by the Department's Chief Financial Officer and reviewed by Component customers. Each fee for service activity is expected to recover its operational expenses, usually at a much lower cost as the Components benefit from economies of scale. Examples include: GSA rent and real estate services, IT and telecommunication services, human resource services, procurement operations, and financial management services.

##### **Tri-Bureau Service Activity**

The Tri-Bureau Service Activity PPA previously included 2 FTE and \$34.250 million for the DOJ Data Center Services activity. In FY12, the WCF eliminated all activities within the Tri-bureau category.

### **Government-wide Mandated Service Activities**

Government-wide Service Activities are Administration-sponsored initiatives that are managed by a designated Federal department to improve overall government performance. Other departments are assessed for the cost of supporting the activity. The activities should also provide a direct benefit to participating Components. Examples include the government-wide e-Government initiatives and the OMB-sponsored Interagency Councils.

### **DHS Crosscutting Activities**

The DHS crosscutting activities are Department-wide programs managed by a single office that yield some benefit to all DHS Components, such as Strategic Sourcing. The actual costs of the programs are recouped by redistributing the costs to the Components based on their share of the discretionary budget, staffing or some other fair and equitable pro-rata basis.

### **WCF Management Activity**

The WCF Management Activity includes funding for the staff that develops WCF policy and procedures, formulates and executes the WCF budget and facilitates dispute resolution of issues between activity managers and customers.

### **C. Budget Request Summary:**

The DHS WCF operating requirements for FY 2013 are estimated to be 559 FTE and \$939.319 million in reimbursable authority. This is a net increase of \$248.863 million and 145 positions and 145 FTE from the FY 2012 Enacted.

The WCF will continue all services and activities from the FY 2012 Base request with the exception of the Tri-Bureau Service Activity. The FY 2013 net increase is attributable to a program increase of \$343.126 million for Fee for Service Activities, a program increase of \$.720 million for Government-wide Mandated Service Activities, a program increase of \$0.057 million for DHS Crosscutting Activities, and a program decrease of \$.006 for Working Capital Fund Operations.

The Department established a Working Capital Fund Governance Board (WCFGB) in FY 2008 to provide oversight, set policy and evaluate program requirements for all existing and new WCF activities. The WCFGB is comprised of 11 members representing the DHS Components and the WCF service providers. During the FY13 budget planning phase, the WCFGB reviewed program requirements for 14 potential WCF activities of which the following four received approval for inclusion into the fund in FY 2013:

- Data Center Consolidation O&M;
- HSPD-12;
- Personnel Accountability System; and
- Environmental Planning and Historic Preservation Support System

The WCFGB disapproved the following activities for inclusion in FY13 due to growth concerns presented in the funding requirements:

- Transit Subsidies;
- Executive Sedan Services;
- Parking Services;
- Health Clinics Services;
- Shuttle Services;
- Mail Operations;
- Facilities Management Operations;
- Chief Administrative Officer – Administrative Operations;
- Health and Safety Office; and
- Executive Dining Facility

#### **D. Funding Adjustment**

The Department revised the WCF's FY 2012 cost requirements from the enacted level of \$752M to \$630M. The revision is based on the Department's re-evaluation of the projected growth rate represented in the FY 2012 President's Budget. The revised funding levels are reflected as adjustments to base to the FY 2013 Current Service levels. The Department will submit an official notification to the Hill detailing the revisions to the FY 2012 funding requirements along with this document.

#### **Fee for Service Activity Program Changes: \$343,126 million increase and 45 FTE increase over FY 2012 Enacted**

- Financial Statement Audit -- \$.774 million increase and 0 FTE - The Financial Statement Audit activity requests additional funding to cover increases in contractor costs and for travel costs for the OIG staff. The amount includes an increase for time and material costs for audit services. The service includes a Full Scope audit cost for Customs and Border Protection (CBP), Federal Law Enforcement Training Center (FLETC) Transportation Security Administration (TSA), Immigration and Customs Enforcement (ICE), and Citizenship and Immigration Services (CIS).
- Internal Control Audit -- \$.367 million increase and 0 FTE - The Internal Control Audit activity requests additional funding to cover increases in contractor and travel requirements for the program.
- Financial Accounting and Shared Services -- \$1.391 million increase and 0 FTE- The activity Financial Accounting and Shared Services activity requests additional funding to cover contractual requirements associated with projected increases in transactions, IT contract costs, rent, administrative costs, plus overhead IT cost for each component.
- NCR Infrastructure Operations -- \$51.428 million increase and 0 FTE – DHS will continue to realize an increased need for network storage and connectivity in FY 2013. This increase will allow the Department to continuing its technology refresh for the end user equipment and refresh the backbone network equipment.



- Enterprise License Agreements -- \$48.308 million increase and 1 FTE – The FY 2013 increase is attributed to the fact that components were currently paying for Symantec and Oracle software licenses outside of the WCF. For FY 2013, this activity will continue to manage Microsoft and Adobe licenses and add management of Symantec and Oracle licenses.
- Data Center Migration -- \$64.797 million increase and 0 FTE - This increase will provide funding to consolidate and assist migrating data center environments to the two enterprise-wide DHS data centers. By creating two redundant data centers, DHS is committed to the integration, consolidation, and the transformation of individual Component infrastructures into a single, world-class IT infrastructure capable of supporting the significant demands required of an organization of more than 200,000 employees. (Funding for data center migration is included in the CIO request.)
- Enterprise Data Center – O&M -- \$180.778 million increase and 34 FTE -The Data Center Consolidation WCF activity will provide the means by which to manage the funding for the on-going O&M at the DHS data centers. By including the on-going O&M collections in the WCF, the Department is able to achieve further benefits by ensuring that the Service Provider contracts are fully funded and paid on time by providing customers their charges in advance thus reducing workload and time associated with executing interagency agreements.
- HSPD-12 -- \$23.000 million increase and 9 FTE - The HSPD-12 activity within the WCF will centralize the management and issuance of HSPD-12 security identification cards for all DHS customers. Of the \$23 million request for the HSPD-12 activity, \$1.5 million will be used to fund 9 FTE to assist in the management, oversight, and card issuance, \$15.7 million is estimated to fund the anticipated contractual requirements for Personal Identity Verification (PIV) card implementation, and \$5.8 million for other costs including equipment purchases, travel, ancillary supplies, and printing services provided by GPO.
- Environmental Planning & Historic Preservation Decision Support System (EP&HP DSS) -- \$467 thousand increase and 1 FTE - Through the use of a standard automated review process, the activity will decrease the total cost of environmental reviews, increase efficiency, improve the workflow of environmental reviews, and increase the quality of environmental reviews throughout the department.
- Personnel Accountability System -- \$1.241 million and 0 FTE - The National Continuity Implementation Plan (NCIP) lays out standards to ensure that all Federal departments and agencies continue to carry out the most critical functions necessary to lead and sustain the Nation during a catastrophic emergency. The NCIP requires each agency develop the relevant policies, procedures, and processes to address its continuity of operations. The Personnel Accountability System will satisfy this requirement by standardizing and automating processes for contacting DHS employees in case of emergency.

Program Decreases -- reduction of \$21.502 million in Fee for Service Activities.

- \$1.041 million – GSA Rent

- \$20.186 million – Consolidated Subscriptions
- \$.017 million – Financial Management Operations
- \$.046 million – Headquarters Human Capital Services
- \$.015 million – HSBS Payroll Services
- \$.003 million – DHS Executive Leadership Services
- \$.022 million – DHS Infrastructure Transfer Program
- \$.172 million – Procurement Operations

**Government-wide Mandated Service Activity Program Changes: \$.719 million increase from the FY 2012 Enacted**

- e-Training -- \$.482 million program increase will fund licensing support costs for centralized custom courseware development.
- e-gov Integrated Acquisition Environment -- \$.237 million program increase will continue to fund the Presidentially-mandated e-Gov initiative by supporting federal acquisition throughout all federal agencies.

**DHS Crosscutting Activity Program Changes: \$.057 million increase from the FY 2012 Enacted.**

- Strategic Sourcing; \$.057 million increase – In FY13, the Strategic Sourcing activity is projected to increase its overall program spend requirements in FY 2013 to fund IT and support contracts for the activity.

**Working Capital Fund Management Program Changes: \$.006 million decrease**

The Working Capital Fund Management PPA is requesting a total of \$.006 million less than the current service level for Working Capital Fund Management activity and 0 FTE due to operations efficiencies.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Working Capital Fund Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Fee for Service Activity	460	455	577,378	394	394	699,962	540	540	890,863	146	146	190,901	45	45	343,126	101	101	(152,225)
Tri-Bureau Service Activity	-	-	34,251	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Government Wide Mandated Service Activity	7	5	27,089	8	8	32,744	7	7	32,178	(1)	(1)	(566)	-	-	720	(1)	(1)	(1,286)
DHS Cross Cutting Activities	4	4	9,784	2	2	17,703	4	4	14,972	2	2	(2,731)	-	-	57	2	2	(2,788)
Working Capital Fund Management Activity	8	8	1,154	8	8	1,632	8	8	1,306	-	-	(326)	-	-	(6)	-	-	(320)
<b>Total, Working Capital Fund</b>	<b>479</b>	<b>472</b>	<b>649,656</b>	<b>412</b>	<b>412</b>	<b>752,041</b>	<b>559</b>	<b>559</b>	<b>939,319</b>	<b>147</b>	<b>147</b>	<b>187,278</b>	<b>45</b>	<b>45</b>	<b>343,897</b>	<b>102</b>	<b>102</b>	<b>(156,619)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>479</b>	<b>472</b>	<b>649,656</b>	<b>412</b>	<b>412</b>	<b>752,041</b>	<b>559</b>	<b>559</b>	<b>939,319</b>	<b>147</b>	<b>147</b>	<b>187,278</b>	<b>45</b>	<b>45</b>	<b>343,897</b>	<b>102</b>	<b>102</b>	<b>(156,619)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>479</b>	<b>472</b>	<b>649,656</b>	<b>412</b>	<b>412</b>	<b>752,041</b>	<b>559</b>	<b>559</b>	<b>939,319</b>	<b>147</b>	<b>147</b>	<b>187,278</b>	<b>45</b>	<b>45</b>	<b>343,897</b>	<b>102</b>	<b>102</b>	<b>(156,619)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Working Capital Fund  
Fee for Service Activity  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Fee for Service Activity**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>460</b>	<b>455</b>	<b>577,378</b>
<b>2012 Enacted Budget Authority</b>	<b>394</b>	<b>394</b>	<b>699,962</b>
2013 Adjustments-to-Base	101	101	(152,225)
<b>2013 Current Services</b>	<b>495</b>	<b>495</b>	<b>547,737</b>
2013 Program Change	45	45	343,126
<b>2013 Total Requested Budget Authority</b>	<b>540</b>	<b>540</b>	<b>890,863</b>
Total Change 2012 to 2013	146	146	190,901

The Working Capital Fund requests \$890.863 million and 540 FTE for the Fee for Service activity in FY 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**GSA Rent – Fee for Service Activity - \$93.808 million**

*Description of Service:* The WCF Rent Activity provides services such as assisting customers with initiating requests for new space and working with the General Services Administration (GSA) to identify procure and construct appropriate office space as well as managing space assignments and growth requirements for all existing locations within the DHS HQ National Capital Region (NCR) portfolio. Along with space management, the activity is also tasked with fairly allocating the rent costs incurred for each location among the components. Costs include rental payments to GSA, Federal Protective Service (FPS) charges and funding reimbursable agreements with GSA for overtime utilities. Centrally managing these costs and transactions enables us to provide greater efficiency.

Other responsibilities include managing and forecasting space and budget requirements and developing Housing Occupancy Plans to maximize the utilization of space. In order to provide effective customer service a Space/Rent Analyst is assigned to each Component.

*Managing Office:* Office of the Chief Administrative Services Officer

**Cost Allocation Methodology:** Customers are charged based on their occupied space in each building. The square footage is multiplied by the price per rentable square foot cost for each building. The per building rentable square foot price is based on GSA rent, and also includes Federal Protective Service (FPS), overtime utilities, antenna charges and DHS shared space.

**Full Time Equivalent (FTE):** This activity requires 5 FTE.

**FEDLINK (Library of Congress) – Fee for Service Activity - \$11.120 million**

**Description of Service:** The Department of Homeland Security (DHS) Library and Information Services' mission is to provide DHS program managers and their end users with timely desktop access to mission critical, authoritative, commercial information content products and services. The activity was established in 2004 to implement DHS-wide information assets supporting decision making, enforcement, investigation, research and academic information gathering activities of the DHS workforce. The activity collaborates with the Library of Congress (LOC) FEDLINK program through which the LOC shares its expertise in information services and consolidates the buying power for Federal agencies.

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The FY 2013 costing algorithm is based on three differing service types: enterprise-wide availability, account specific availability, and percentage of use.

**Enterprise-wide Availability:** Services available enterprise-wide are made available to all DHS personnel as identified by Internet Protocol (IP) authentication. The cost distribution for these services is based on FTE numbers approved by the Office of the Financial Officer. Examples of products provided under the enterprise-wide available service plan include subscription to Leadership Directories, Newsbank, EBSCO, ASTM, National Fire and Protection Association, and the Oxford English Dictionary.

**Account Specific Availability:** Services available based on specific account availability are accessed using vendor provided user names and passwords. The cost for these services is distributed based on the actual cost of the user subscription service including applicable FEDLINK fees. An example of products provided under this type of service plan is West Government Services, which is only used by certain DHS Components.

**Percentage of use:** Under this service plan, products and subscriptions can be accessed by all DHS Components by using user names and passwords. The cost for these services is distributed to each component organization based on prior usage percentages related to the annual product cost. An example of a product provided under this type of service plan is Westlaw.

**Full Time Equivalent (FTE):** This activity requires 4 FTE.

**Financial Management (Finance & Accounting Shared Services) – Fee for Service Activity - \$26.394 million**

**Description of Service:** The Office of the Chief Financial Officer (OCFO) provides authorization for financial systems used by DHS. OCFO sets policy, and manages the development, implementation, operation and maintenance of Departmental financial management systems and related business processes. The US Immigration and Customs Enforcement (ICE) perform selected financial management services for the DHS HQ offices on a reimbursable basis.

**Activities include:**

- **Financial Policies and Procedures:** In conjunction with all involved parties, ICE will support the implementation of any new or modified financial management procedures for processing and reporting financial transactions. ICE in conjunction with all parties involved will work to establish appropriate policies, procedures and standards for business process activities.
- **Administration (including Customer Service):** ICE will provide administrative tasks associated with ongoing management and resourcing of financial operations on behalf of the DHS customers. Examples of these activities include: Continuity of Operations Planning (COOP), customer outreach and evaluation of services, and financial management group meetings.
- **Financial Processing:** ICE will perform financial management transaction processing tasks. In collaboration with DHS OCFO, appropriate internal controls will be maintained by ICE to provide reasonable assurance that financial information is reported in compliance with all applicable laws, regulation and accounting standards and policies established by DHS. Specifically, these activities include, but are not limited to: collections and reimbursable agreements, disbursements, payroll processing and budgetary resources.
- **Financial Analysis, Reporting, and Statements:** ICE will provide financial statement reporting and issue resolution. ICE will maintain separate general ledger accounts within the Federal Financial Management System (FFMS) for the DHS customers and maintain the DHS customers balances on the accrual basis of accounting and in conformance with the U.S. Standard General Ledger (SGL) at the transaction level. Activities with respect to this function include, but are not limited to: general ledger maintenance, fund balance with Treasury, and financial management data.
- **External Reviews and Inquiries:** When appropriate, ICE will provide response to financial management and reporting related questions and data requests from external sources, such as independent auditors, the Inspector General's Office (IG), Government Accountability Office (GAO), and Congressional offices and staff.
- **Financial Systems:** Provide financial system support tasks. These activities include, but are not limited to: hosting and maintenance of Federal Financial Management System (FFMS); administration of contract for FFMS training; FFMS and E-travel User Access; FFMS and E-travel Help Desk; Support of DHS systems modernization efforts; and system updates and enhancements.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is based on the actual cost derived from the Customer Billing Model (CBM) of the prior year plus a 2% inflation rate or inflation rate guidelines provided by the WCF. Cost allocation methodology for this activity is based on the historical cost of providing seven categories of financial support to each participating component. The seven categories of financial support services include the following: (1) financial reports, (2) obligations and payment processing, (3) system usage, (4) receipts, (5) payroll, (6) overhead, and (7) travel and cash management services.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Financial Statement Audit – Fee for Service Activity - \$19.799 million**

**Description of Service:** The DHS Office of the Inspector General (OIG) awards a contract to an independent Certified Public Accounting (CPA) firm to perform financial statement audit functions. The costs include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the Office of the Inspector General as the Contracting Officer's Technical Representative (COTR). The award is made under a GSA schedule contract.

The Financial Statement Auditor is selected by the OIG through contracting procedures (with the Bureau of Public Debt (BPD) acting as the procurement office) and must stay independent from the DHS Components that are being audited.

The Office of the Chief Financial Officer coordinates and prepares the DHS consolidated financial statements and in this role acts as primary liaison for the auditors. All DHS Departmental CFOs coordinate with the OCFO Director of Financial Management to prepare financial statements and complete of the audit.

The Office of the Inspector General is the COTR for the Financial Statement Audit contract. The OIG has the following responsibilities:

- Contracting with an independent public accounting firm to perform the FY 2012 DHS financial statement audit
- Providing oversight of the contract auditor
- Providing estimated cost information that allows the OCFO to properly budget for audit costs
- Notifying the OCFO of any potential cost overruns and the related reasons
- Reviewing and approving invoices for payment.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** The cost allocation methodology is the sum of the estimated auditor's billable hours multiplied by the hourly rate plus travel and incidental costs.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

### **Internal Control Audit - Fee for Service Activity - \$2.233 million**

**Description of Service:** A contract is awarded annually to provide internal control audit services. The selected auditor provides services through a time and materials contract which includes travel and incidental costs associated with the performance of the audit. The award will be made under a GSA schedule contract and the OIG acts as the COTR.

The Internal Control Auditor is selected by the OIG (with the Bureau of Public Debt acting as the procurement office) and must stay independent from the DHS components that are being audited.

The Office of the Chief Financial Officer coordinates the assessment process and acts as primary liaison for the auditors. All DHS Departmental CFOs coordinate with the OCFO Director of Financial Management in the preparation of and completion of the independent audit, and with the Director of the Internal Controls Program Management Office on management's assessment of internal controls.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** Each Component pays for its own assessment by multiplying the auditor's estimated billable hours multiplied by the hourly rate plus travel and incidental costs.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

### **Financial Management Support (Financial Operations) – Fee for Service - \$4.223 million Activity**

**Description of Service:** The Office of Financial Operations (FO) is a line of business under WCF that provides financial management to the offices within the Office of the Secretary and Executive Management (OSEM), the Under Secretary for Management (USM), the Office of the Chief Financial Officer (OCFO), and the Office of the Chief Information Officer (OCIO). The WCF Financial Operations manages the processing of multiple types of financial documents and transactions for its customers as well as FedTraveler Help Desk Support.

This funding provides the personnel and materials to perform the following activities:

- Procurement requisition operations and management
- Invoice and Inter-governmental Payment and Collection System (IPAC) operations and management
- Travel operations support and management
- Payroll reclassification, reconciliation and reporting management
- Fiscal Year end close coordination and support
- Travel cards operations and management
- Purchase card operations management
- Overall financial management services and oversight

An internal control function will be added in FY 2012 to assess entity-level controls and conduct A-123 process assessments of financial reporting processes for General Ledger Management and



overseeing the reconciliation of the Fund Balance with Treasury for OSEM and USM offices. The internal control function - helps the Office of Financial Operations meet the requirements of the Federal Managers' Financial Integrity Act and provide the required annual internal control assurance to the Secretary for Departmental Management offices.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** The cost allocation methodology is percentage of FTEs per office utilizing Financial Management Support multiplied by the total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 32 FTE.

**Bankcard Program - Fee for Service Activity- \$.055 million**

**Description of Service:** DHS has selected Customs and Border Protection (CBP) as the servicing agent to provide for a centralized invoicing and payment system for components within DHS. CBP has developed and implemented a system that supports the receipt of daily invoices for all of DHS.

This system assures payment of those invoices within one business day of receipt, and provides transmission of an electronic file containing transaction data to each component's accounting system.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is based on the number of each component's processed bankcard transactions divided by the total number of bankcard transactions processed for all participating components, multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Treasury Information Executive Repository (TIER) – Fee for Service Activity - \$.717 million**

**Description of Service:** The Treasury Information Executive Repository (TIER) is the application used by the DHS OCFO to create Department-wide financial statements. TIER is critical for monthly, quarterly, and annual reporting requirements and meeting accelerated timeframes for financial statement audit deliverables and producing the Annual Financial Report. TIER reduces the cost of producing financial statements in a timely manner.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is average annual cost of the TIER software equally distributed to the components.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**National Finance Center (NFC) Payroll/Services and Reporting – Fee for Service Activity - \$36.017 million**

**Description of Service:** Department of Agriculture/National Finance Center (NFC) provides Payroll/Personnel services utilizing their legacy mainframe systems (payroll) and EmpowHR PeopleSoft application (personnel). In addition, NFC provides payroll/personnel policy supports and benefits reconciliation, tax reporting, and payroll problem resolution.

**Managing Office:** Office of the Chief Human Capital Officer (CHCO)

**Cost Allocation Methodology:** The FY2013 cost estimate is based on the following for each Component:

<b>COST AREA</b>	<b>COST DRIVER</b>
Postage-Earnings and Leave and Personal Benefits Statements	Pieces of mail*
Treasury FMS Postage Charges for Single Address Checks	Checks mailed
USDA OIG Oversight of Non-USDA Payroll Processing	Avg # of employees paid
Payroll Operations Branch Support	Avg # of employees paid
Tax Reporting	Avg # of employees paid
Payroll Policy Support	Avg # of employees paid
e-Pay Policy Support	Avg # of employees paid
Benefits Reconciliation and Liaison Area	Avg # of employees paid
Debt Management	Receivables established
Claims	Claims processed
Payroll Accounting	Avg # of employees paid
Certification	Avg # of employees paid
Ad-Hoc reporting (based on CPU Minutes used)	CPU Minutes
Data Center Operations (Other than FOCUS)	Avg # of employees paid
Payroll/Personnel Baseline Services	Avg # of employees paid
3 <sup>rd</sup> Party Garnishment Processing	# of manual garnishment accounts & NFC labor cost

\* Through the Secretary’s efficiency review initiative, OCHCO has reduced Postage costs by more than 95% by implementing paperless E&L and Personal Benefits statements in FY11/FY12.

In addition to providing NFC Payroll/Personnel services and EmpowHR hosting, NFC also provides hosting services for the webTA (time and attendance) application.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**HQ Human Capital Services -Fee for Service Activity- \$14.214 million**

**Description of Service:** The HQ Human Capital Services activity provides efficient and effective operational human resource services for HQ managers and employees. Examples of services provided include: staffing and recruitment; position classification/position management; performance management; payroll and personnel action processing; employee and labor relations support; retirements and benefits support; time and attendance support; delegated examining unit (DEU)

administration, audits and quality control services; and new employee and other leadership/supervisory training to support ongoing initiatives. HQ Human Capital Services also provides executive resources services assisting the HQ offices (including NPPD) in recruiting, hiring and on-boarding executives and political appointees. Example of services include: continued support/guidance upon entrance on duty; organization and coordination of statutory Executive Resources Boards; and Performance Review Boards to ensure adequate oversight of the Department's executive cadre.

The HQ HCS Team provides coordinated services to all DHS HQ customers, ensures timely and effective recruitment of staff, effectively manages the "on-board" staffing process (which includes security clearances and collaboration with the Personnel Security Office), and supports the efficient facilitation of staff exiting DHS HQ.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology is a pro-rata share based on the percent of each HQ Component's FTE divided by the total number of participating Components' FTE multiplied by the total estimated cost of the activity.

**Full Time Equivalent:** This activity requires 81 FTE.

#### **Human Capital Business Systems (HCBS) – Fee for Service Activity - \$7.750 million**

**Description of Service:** The mission of the HCBS activity is to maintain and support DHS enterprise-wide human capital business systems and reduce costs by consolidating the number and variety of DHS human capital systems. The systems' capabilities meet the requirements specified by the user-community and provide services in a timely and cost-effective manner.

HCBS supports several enterprise-wide systems to include: web-based time & attendance; personnel and payroll; and the Enterprise Integration Environment (EIE), which allows hosting and integration of enterprise application data. In each case, the components are supported by the HCBS unit in a collaborative and leveraged approach.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** Costs are based on three billable areas: (1) estimated FTE costs for providing HCBS operational support; (2) operations and maintenance of the HR systems and hosting environment; and (3) estimated costs for operational support and reporting (contract labor hours).

The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's FTE divided by total participating Components' FTE multiplied by the total estimated cost of the activity. Customers will only be billed for the areas that they receive service for.

**Full Time Equivalent:** This activity requires 21 FTE.

#### **Flexible Spending Accounts (FSA) Administrative Costs – Fee for Service Activity - \$2.125 million**

**Description of Service:** FSAs are employee-funded accounts that are used by the employee account holders to pay for health-care and dependent-care costs with pre-tax dollars and which are not reimbursed by another source. Contributions to the accounts come from an employee's pre-tax salary; the government does not make a contribution. There are administrative fees charged by OPM and the service provider for medical-care and dependent-care accounts.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** Component costs for this program are based on actual invoices received in October and March of each fiscal year. The March bill includes employees of record as of January 1 of the calendar year. The October bill makes an adjustment for new employees who have entered the program since January 1 of the prior fiscal year. The cost allocation methodology is based on components' current year actual participation rates.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**DHS Senior Executive Service Candidate Development Program (SES CDP) – Fee for Service Activity - \$.966 million**

**Description of Service:** The DHS Senior Executive Service Candidate Development Program (SES CDP) is a key element in accomplishing the Secretary's goal of "One DHS". Previously, TSA, CBP, and USSS offered CDPs for mission critical employees. The Department is consolidating its multiple Candidate Development Programs and the "One DHS" CDP will be the only CDP offered moving forward. Candidates from across the Department will be exposed to a core training program, and will have the opportunity to participate in mentoring, developmental assignments, and other activities throughout the Department. Each candidate will be closely observed by an Executive Resources Board (ERB), either at DHS HQ or their operational component. The staff will work with candidates, mentors, developmental assignment supervisors, and members of ERBs, to closely evaluate the progress of each candidate. These evaluations will ensure the candidate is taking maximum advantage of developmental opportunities and modify developmental activities as necessary.

The DHS SES CDP serves as a cornerstone for sustaining a corporate leadership identity as directed in the DHS Strategic Plan, contributes to meeting our succession planning goals, and creates a high-quality SES leadership cadre. It is also a critical element in sustaining a "Green" rating on OMB's Human Capital Scorecard.

This centralized program complements and enhances the strengths of existing component leadership development initiatives across the Department and further facilitates succession planning opportunities. It provides the opportunity for participants to take advantage of developmental/rotational opportunities in other DHS components, thereby increasing participants' corporate DHS knowledge and experience. In addition, components benefit from these rotational assignments by having a senior staff person working with them on real issues and offering different perspectives and/or business experiences.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The costs are allocated based on the percentage of SES slots a component has relative to the total DHS SES (or SES equivalent) population excluding military.

**Full Time Equivalent:** This activity requires 4 FTE.

**HQ Executive Leadership Development Program (HQ ELDP) – Fee for Service Activity - \$.304 million**

**Description of Service:** The HQ Executive Leadership Development Program provides executive level training to close potential competency gaps in DHS’ Headquarters leadership. The ELD program offers training through the following programs: Treasury Executive Institute (TEI), Senior Executive Service (SES) Forum, Individual Executive Development Training, and general HQ Workforce Training to HQ components.

In addition to TEI and the SES forum training, the ELD program offers additional training opportunities and courses at the Management Development Center (Shepherdstown, WV) and the Federal Executive Institute (Charlottesville, VA). The ELD program is progressive in nature, offering learning and leader development training opportunities that support qualifications for higher-level management positions and ongoing refresher training to sustain current and relevant skill sets.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology is based on the total cost divided by the total population serviced and then multiplied by the Component percentage of the population.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**HQ Employee Assistance Program (EAP) — Fee for Service Activity - \$.051 million**

**Description of Service:** The EAP provides services designed to help employees, managers, and organizations meet life challenges and remain healthy, engaged, and productive. EAP provides short-term counseling and referral for issues that are having an impact on an employee’s ability to work. The EAP will either address the concerns during counseling sessions, or through referrals to appropriate community resources, counselors, and other support services. Issues addressed by the EAP include: (1) life changes: divorce, new job, new baby, aging parents, grief/loss, retirement; (2) life challenges – drug/alcohol abuse, depression, eating disorders, mental illness; (3) job stress and burnout; and (4) coping with difficult situations or difficult people.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology is based on the total cost of the EAP program divided by the population serviced. This activity covers headquarter offices only.

**Full Time Equivalent (FTE):** This activity requires 0 FTE. **CIO/DHS Infrastructure Transformation (ITP) Program – Fee for Service Activity - \$52.254 million**

**Description of Service:** The DHS Consolidated IT Infrastructure has served the majority of employees of the Department since its establishment on March 1, 2003. When DHS was created the Department supported numerous legacy IT programs, 43 DHS run data centers, seven wide area networks, and multiple local area networks with overlapping system circuitry. Contrasting acquisition strategies and IT infrastructure policies among Components further complicated the DHS IT environment and the ultimate goal of moving to one DHS-wide IT infrastructure in a consolidated IT data center operational environment.

Infrastructure Transformation Program (ITP) is a group of interrelated initiatives designed to improve the Department's Information Technology (IT) infrastructure by unifying disparate Component information technology networks, platforms and services into a set of enterprise-wide IT services. It implements the DHS Chief Information Officer's (CIO) vision of One Infrastructure, which requires an integrated IT infrastructure to serve as the foundation for information sharing and agile responses to threats against the homeland. ITP was chartered by the Deputy Secretary as a DHS Level 1 investment with the following initiatives included in the scope of the transformation effort: network services, email services, data center, and wireless. A majority of the ITP WCF activity supports DHS enterprise-wide IT infrastructure O&M activities for Network Services (OneNet). OneNet provides the foundation for DHS's Information Sharing Environment (ISE). DHS's unclassified, classified and secret networks utilize OneNet for information transport. OneNet also centralizes wide area networks, network and security operations centers; and contributes to the creation of a robust, reliable, scalable, secure, survivable, and cost-effective infrastructure to support Components across the DHS IT Enterprise.

ITP resides within the IT Services Office (ITSO) of the DHS CIO. ITP is managed by the ITSO Enterprise Services Division (ESD) and is led by the Director of ESD and a CIO Council member executive sponsor. Furthermore, ITP is supported by a senior executive steering group of CIOs, which is staffed by a team of technical experts hired by the Department HQ from the Components, several Components' working group members, and contractor support.

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:**  $\text{Component Contribution to DHS IT Infrastructure Investment} / \text{Total DHS IT Infrastructure Investment} = \text{Customer Percent}$ .  $\text{Customer Percent} \times \text{Total Charges} = \text{Customer Charges}$

**Full Time Equivalent (FTE):** This activity requires 17 FTE.

**National Capital Region Infrastructure Operations (NCRIO) – Fee for Service Activity - \$198.578 million**

**Description of Service:** The NCRIO serves the DHS Headquarters (HQ), select Department Components, and field offices for network and internet/intranet access; management and delivery of desktop computing applications and equipment, email, wireless communications, video (VTC), voice (phone) and messaging; communications security; and IT operations disaster planning and mitigation to ensure continuous operations. The NCRIO manages and maintains all deployed applications for full functionality and continuous availability of unclassified and classified networks, as well as full functionality of file and data storage and retrieval, printing, and remote access. The NCRIO

coordinates management and delivery of these services with build-out of new facilities and provides customer service through a 24/7 help desk.

In providing these services, the NCRIO adheres to applicable executive orders, Presidential directives, other Federal laws, management policies, handbooks, guidelines, processes, and procedures. The NCRIO continually monitors vendors' performance and technology to ensure that DHS HQ IT infrastructure services conform to specified standards for reliability, readiness, sustainability, supportability, availability, stability, security, flexibility, responsiveness and cost effectiveness. The NCRIO tracks workload data by functional service area to identify trends and statistical variations, and provides technical, logistical and financial forecasts for future years. The NCRIO conducts baseline assessments of its existing systems and infrastructure against industry standards for items such as configuration and performance metrics. Using the results of baseline evaluations, the NCRIO maintains a program for the improvement of information technology services.

The NCRIO resides within the IT Services Office (ITSO) of the DHS CIO. NCRIO is managed by the ITSO Customer Relationship Management Division (CRMD). NCRIO is led by the Director of CRMD. Cost-and activity-based analyses, are conducted, and validated by the ITSO Budget and Financial Management Division (BFMD), independent of NCRIO management. Senior executive management of the DHS HQ Directorate Components formed a review group to identify and resolve customer service issues in monthly meetings with the DHS CIO.

***Managing Office:*** Office of the Chief Information Officer

***Cost Allocation Methodology:*** The FY 2013 WCF submission is allocated among the participating organizational Components based on their total number of accounts on the network as determined by the Global Address List (GAL). For Classified Land Area Network (C-LAN), costs are driven by the number of Component accounts and devices. For Unclassified Land Area Network (A-LAN), the non-discrete costs are shared across the total number of network accounts, with the Component being charged for their prorated share of the total network accounts. A Component's discrete costs; e.g. wireless and circuits, are billed directly to the Component based on their actual consumption of these services.

***Full Time Equivalent (FTE):*** This activity requires 73 FTE.

**Enterprise License Agreements (formerly Microsoft) – Fee for Service Activity - \$102.463 million**

***Description of Service:*** This service allows Components to leverage DHS buying power by consolidating license requirements into a single enterprise-wide procurement. The activity further helps to decrease costs, reduce paperwork and save time by eliminating the need for repetitive, individual purchases from vendors. The Department continues to pursue opportunities to benefit from economies of scale, moving from Component or office specific software or hardware licenses to larger enterprise licenses for common services. The four existing WCF ELAs are:

***Microsoft:*** In the spirit of the Federal Acquisition Streamlining Act (FASA), DHS and Dell Marketing, L.P. decided to re-enter into a single Blanket Purchase Agreement (BPA) for a DHS-wide Microsoft Enterprise License Agreement to standardize office automation and communication

applications across the Component agencies' existing IT environments. The account provides for the funding and management of the Microsoft Enterprise Agreement awarded in June 2009, which provides enterprise access to the Microsoft suite of products. The products include the software needed for individual desktops, laptops, and server platforms, such as MS Office, MS Project, MS Visio, MS Advanced Server, etc. This license agreement is utilized by all of DHS and this budget request reflects the contractual obligations of each of the Components.

**Adobe:** The Secretary's Efficiency Review Board tasked the OCIO with establishing an Adobe Enterprise License Blanket Purchase Agreement (Adobe BPA) to provide DHS desktops and servers with the suite of Adobe products. The Adobe BPA reduces costs, eliminates inconsistent licensing, takes advantage of economies of scale to ensure the best pricing and streamlines the procedures required to procure all Adobe licenses for the Department. The Adobe BPA includes all Adobe products offered on the Adobe authorized resellers' GSA Schedule, and provides immediate Adobe Acrobat licensing for all DHS Components. This agreement is utilized by all of DHS. The request reflects the contractual obligations of each of the Components.

***Governance Board Approved ELAs for FY2013 Budget Submission***

**Oracle:** DHS negotiated a BPA for Oracle software products and miscellaneous services associated with Oracle software. The award of this DHS-wide ELA allows the DHS HQ and its Components to purchase Oracle program licenses, technical support services and training, as well as level-set all existing maintenance, at the most competitive pricing available. The terms of the BPA also allow for the transfer of all existing Oracle licenses owned by DHS to the new BPA. The Department-wide vehicle not only allows for the timely, renewal of software maintenance for the Department's (110,000+) Oracle licenses, but also allows for the purchase of additional software, software licenses, and software-associated products and services by Components when needed (and at greatly reduced prices) between consolidated purchase cycles.

**Symantec:** DHS negotiated a maintenance only BPA for Symantec maintenance coverage for all DHS Components. The award of this DHS-wide ELA allows the DHS HQ and its Components to purchase Symantec software maintenance, technical support services and training, as well as level-set all existing maintenance, through co-termination of existing contracts, at the most competitive pricing available.

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The annual costs are based on the total number of existing licenses multiplied by the pre-negotiated cost of licenses plus an administrative fee.

**Full Time Equivalent (FTE):** This activity requires 3 FTE.

**Office of Procurement Operations – Fee for Service Activity - \$47.529 million**

**Description of Service:** The DHS Office of Procurement Operations (OPO) provides full service acquisition support to OSEM, USM, S&T, USCIS, NPPD, OHA, OIG, A&O, DNDO and USVISIT. In addition, the OPO provides acquisition services for department-wide acquisition initiatives identified by both the Chief Information Officer and the various commodity councils within DHS.



Services provided include acquisition planning, training, execution, and administrative services.

**Managing Office:** Office of the Chief Procurement Officer

**Cost Allocation Methodology:** The sum of the each customer-aligned division's cost and their assigned pooled costs and administrative costs is the full cost of acquisition services support and is the amount of reimbursement that is charged to each of OPO's customers. In the case of the Department Operations Acquisition Division (DOAD), the full cost is further disaggregated and charged to each of its 15 customers according to their respective percentage of DOAD's total procurements.

**Full Time Equivalent (FTE):** This activity requires 256 FTE.

**Enterprise Data Center Consolidation - Migration – Fee for Service Activity - \$64.797 million**

**Description of Service:** The Enterprise Data Center activity will continue to use the WCF as the mechanism to pool Congressionally-designated migration funds to move Component systems and applications to the two DHS Enterprise Data Centers (EDCs) for central DHS management in FY 2013. This includes: discovery, migration planning, and scheduling activities, as well as the first 90 days of Operations and Maintenance (O&M) costs specifically related to systems/applications that will transition to the DHS Data Centers in FY 2013.

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** DHS Components make payments into the Data Center Consolidation WCF activity in accordance with Congressionally appropriated Data Center Consolidation funding. This funding is coordinated with the approved consolidation schedule. Migration allocations are determined by the costs, as estimated by the Components, to physically relocate the application/system from the legacy data center to one or both of the DHS Enterprise Data Centers (EDCs).

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Department of Homeland Security**  
**Working Capital Fund**  
**Tri-Bureau Service Activity**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Tri-Bureau Service Activity**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>34,251</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	-	-	-

The Working Capital Fund does not request any funding for Tri-Bureau Service Activities in FY 2013 due to the discontinuation of data center services from the Department of Justice. In FY 2012, all data center requirements were met through the DHS data centers.

**Department of Homeland Security**  
**Working Capital Fund**  
**Government Wide Mandated Service Activity**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Government Wide Mandated Service Activity**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>7</b>	<b>5</b>	<b>27,089</b>
<b>2012 Enacted Budget Authority</b>	<b>8</b>	<b>8</b>	<b>32,744</b>
2013 Adjustments-to-Base	(1)	(1)	(1,286)
<b>2013 Current Services</b>	<b>7</b>	<b>7</b>	<b>31,458</b>
2013 Program Change	-	-	720
<b>2013 Total Requested Budget Authority</b>	<b>7</b>	<b>7</b>	<b>32,178</b>
Total Change 2012 to 2013	(1)	(1)	(566)

Working Capital Fund requests \$32.178 million and 7 FTE for this activity in FY 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Interagency Council Funding - Government-wide Service activity - \$.878 million**

*Description of Service:* GSA provides oversight and administers the Interagency Council funds in consultation with the Chief Financial Officers Council, the Chief Information Officers Council, the Federal Acquisition Council and the Chief Human Capital Officers Council.

- Chief Financial Officers (CFO) Council funding supports the following activities:
  - Federal Audit Clearing House (FAC) - Disseminates audit information to Federal agencies and the public, supports OMB oversight and assessment of Federal award audit requirements, and assists Federal cognizant and oversight agencies in obtaining OMB Circular A-133 data and reporting packages.
  - Grants Streamlining – Implements P. L. 106-107, the Federal Financial Assistance Management Improvement Act of 1999. It also proposes a standard format for Federal agency use in announcing discretionary grant and cooperative agreement funding opportunities.
- Chief Information Officers (CIO) Council funding supports the following activities:
  - A contract to support the Portfolio Management Office for the ongoing e-government initiatives efforts.

- Federal Enterprise Architecture (FEA) —identifies and develops collaboration and consolidation opportunities across Federal agencies.
- Federal Acquisition Council (FAC) funding supports the following activities:
  - The Federal Competitive Sourcing Database (FCSD) Facilitates comprehensive, consistent, and timely reporting of government actions related to competitive sourcing.
  - Acquisition Workforce Competency Development and Training - Funds the Acquisition Career Management Information System (ACMIS) database which provides workforce training data and OPM data to make strategic workforce decisions that affect the agency training and certification requirements.
  - Government-wide Performance Measures for Socio-Economic Goals - Small business success is currently measured by meeting established statutory goals.
  - The Service Acquisition Reform Act (SARA), Acquisition Advisory Panel and Report to Congress - Section 1423 of SARA requires the Administrator of OMB’s Office of Federal Procurement Policy to establish an advisory panel of recognized experts in acquisition law and policy to review laws and regulations regarding the use of commercial practices, performance-based contracting, the performance of acquisition functions across agency lines of responsibility, and the use of government-wide contracts.
  - Acquisition Center of Excellence - SARA mandates the development and maintenance of a Center of Excellence in Contracting for Services.
- Chief Human Capital Officers Council (CHCO) funding supports the following activities:
  - CHCO website - Provides a vehicle for sharing and exchanging information of interest to the Federal human resource management community. The system provides a forum for the exchange of information among members of the Council in both a public and private manner.

**Managing Office:** Office of the Chief Financial Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is pro-rata share based on the percent of each component’s adjusted total budget divided by DHS’s total adjusted budget (excluding grant funding) multiplied by the total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**USAJOBS (formerly Recruitment One-Stop) -Government-wide Service activity - \$1.182 million**

**Description of Service:** The USAJOBS initiative is a government-wide initiative led by the Office of Personnel Management (OPM). All agencies fund their portion of this program (based on employment levels). Regulations contained in 5 CFR Parts 330, 333, and 335 implement section 4 of Public Law 1054-52 and authorizes OPM to charge fees to agencies in order to pay the cost of providing Federal employment information and services.

USAJOBS Federal Employment Information System delivers state-of-the-art on-line recruitment services to job seekers, simplifying the process of locating and applying for Federal jobs. It delivers a number of job seeker focused features including intuitive job searching; clean, concise, understandable and attractive job announcements; on-line resume submission; applicant data-mining; and on-line feedback on status and eligibility.

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by the total DHS civilian FTE multiplied by the total estimated cost of the activity.

This activity only benefits civilian personnel; therefore, military FTE are not included in the cost allocation methodology.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

### **e-Training – Government-wide Service Activity - \$10.916 million**

**Description of Service:** Provides an enterprise approach to leveraging technology to support learning and development programs, initiatives, and capabilities. This includes an enterprise architecture approach to modernize and reduce the complexity of DHS Learning Management Systems (LMS'); building enhanced capability through tools such as web conferencing; and closing existing and future gaps in structured learning opportunities by providing every DHS employee access to over 3,000 online courses and 12,000 online books. Government-wide accomplishments derived from this activity are:

- Centralized procurement of primary DHS LMS' in use, providing greater visibility to CFOs, CIOs, and all DHS management regarding costs;
- Consistent, standardized delivery of all legislatively-mandated training to all DHS employees (and contractors where appropriate), launched IT security courses mapped to the Government Information Security Reform Act (GISRA) and the National Institute of Standards and Technology requirements;
- A 21<sup>st</sup> Century approach to training in critical areas such as Emergency Medical Technician training by assisting in the coordination of DHS Modeling and Simulation activity in regards to training; and
- Compliance with OPM and OMB requirements for reporting Enterprise Human Resources Integration training data for all DHS Federal civilian employees.

**Managing Partner:** Office of Personnel Management

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE (excluding military) multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 7 FTE.

**Enterprise Human Resources Integration – Government-wide Service Activity - \$3.740 million**

**Description of Service:**

Enterprise Human Resources Integration (EHRI) is one of five Office of Personnel Management (OPM) led e-Government initiatives designed to leverage the benefits of information technology. EHRI is responsible for maintaining the integrity of the electronic Official Personnel Folder (eOPF), which protects information rights, benefits, and entitlements of federal employees.

Through on-demand Web-based access to personnel folders, EHRI eOPF enables 24/7 concurrent access to personnel information by Human Resources (HR) staff, managers, and employees. It also allows the electronic transfer of the eOPF from one agency to another when the employee moves from one organization to another. The suite of EHRI analytical tools and a comprehensive Data Warehouse provides on-demand, custom reports to forecast the personnel needs of the Federal Government.

**Managing Partner:** Office of Personnel Management

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE (excluding military) multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**e-Rulemaking – Government-wide Service Activity - \$.354 million**

**Description of Service:** e-Rulemaking is a collaborative, interagency activity designed to establish a common, automated and integrated approach to managing the Federal government's rulemaking function. The activity consolidates rulemaking systems at the various departments and agencies and is centrally managed through a web-based environment offering functionality such as one-stop access, search capabilities, and public commenting. e-Rulemaking activities include:

- Expanding public understanding of the rulemaking process
- Improving the quality of Federal rulemaking decisions
- Increasing the amount, breadth, and ease of citizen and intergovernmental participation in rulemaking
- Administering Regulations.gov, a cross-agency, front-end Web application that posts and allows comments on proposed Federal agency rules
- Writing memoranda to the President's Management Council (PMC), directing agencies to include a link to Regulations.gov on agency homepages and in the synopsis of the notice of any regulatory action requesting public comment

- Posting the dockets for nearly 300 Federal agencies, including DHS, on EPA's online system.

**Managing Partner:** Environmental Protection Agency

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is pro-rata share based on the percent of each participating component's adjusted total budget divided by DHS's total adjusted budget (excluding grant funding) multiplied by the total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**e-Grants – Government-wide Service Activity - \$.331 million**

**Description of Service:** e-Grants create a single portal for all Federal grant customers to find, apply for, and manage grants on-line. The Grants.gov storefront provides electronic functionality for applicants and grantees and reduces the paper-based processes that previously challenged the Federal grants environment. The initiative is designed to reduce inefficiencies, meet e-Gov goals, and provide benefits to both citizens and the government. Specifically, the initiative enables the government to meet many of the streamlining activities required by Grants Policy Committee and the Federal Financial Assistance Management Improvement Act, such as deploying a unified search/find capability for grant opportunities, standard data sets, and a common mechanism and processes for applying for Federal grants funds.

**Managing Partner:** Department of Health and Human Services

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology is a pro-rata share based on the percent of each Component's grant funding divided by DHS's total grant funding multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Human Resources Line of Business (HRLoB) – Government-wide Service Activity - \$.214 million**

**Description of Service:** Historically, the Federal government has taken an agency centric approach to delivering human resources services to government employees. Agencies have their own human resources (HR) missions, staffs, management practices and technology. While it is appropriate for agencies to maintain control of some HR practices, it is also appropriate for some of the other HR practices – those that are transactional in nature and not clearly linked to agency missions – be taken out of the agency domain. This frees up agency resources to do the more valuable, strategic HR work.

The Human Resources Line of Business (HR LOB) initiative is tasked to consider business benefits and impacts and propose a service delivery model that preserves some HR functions at the agency

level – where it is appropriate – and that redirects other HR functions to federal HR service centers. Over time, as the federal HR service centers evolve and expand their capabilities, more and more functions will shift to the service center delivery mode.

**Managing Partner:** Office of Personnel Management

**Managing Office:** Office of the Chief Human Capital Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's Full Time Equivalent (FTE) divided by DHS's total FTE multiplied by the total estimated cost of the activity. This activity only benefits civilian personnel; therefore, military FTE is not included in the cost allocation methodology.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Geospatial Line of Business (LoB) – Government-wide Service Activity - \$.062 million**

**Description of Service:** The Geospatial LoB is designed to further refine the opportunities for optimizing and consolidating Federal geospatial-related investments to reduce the cost of government and, improve services to citizens. Cross-agency coordination of geospatial activities can identify, consolidate, and reduce or eliminate redundant geospatial investments. The Geospatial LoB will result in a more coordinated approach to producing, maintaining, and using geospatial data, and will ensure sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments.

**Managing Partner:** Department of Interior

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's adjusted total budget divided by DHS's adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**e-Gov Integrated Acquisition Environment Loans And Grants– Government-wide Service Activity - \$.188 million**

**Description of Service:** The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires OMB to “ensure the existence and operation of a single searchable website, accessible by the public at no cost to access ♦♦♦ that includes information on each Federal award. The law specifically requires a unique identifier for the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. Some contracts (and some grants) already require Data Universal Numbering System (DUNS) numbers. This will allow those areas to feed information into the FFATA portal.

**Managing Partner:** General Services Administration



**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's FTE, divided by DHS' total FTE and multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Budget Formulation and Execution Line of Business (BFELoB) – Government-wide Service Activity - \$.104 million**

**Description of Service:** The focus of the Budget Formulation and Execution Line of Business (BFELoB) is to build a "budget of the future" by promoting information sharing across government agency budget offices and building a "community of practice." With this collaboration, the budget community can start to identify best practices for all aspects of budget formulation and execution. The BFELoB strives to find solutions that link budget formulation, execution, planning, performance, and financial information. Areas of particular interest include technology, budget performance integration, data collection and tracking, financial management integration, and human capital.

**Managing Partner:** Department of Education

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's adjusted total budget divided by DHS's adjusted total budget (excluding grant funding) multiplied by total estimated cost of the activity.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**e-Gov Benefits – Government-wide Service Activity - \$.163 million**

**Description of Service:** The e-Gov Benefits activity provides a single point of access for citizens to locate and determine eligibility for government benefits and services, GovBenefits.gov. The site's core function is the eligibility prescreening questionnaire or "Benefit Finder." Answers to the questionnaire are used to evaluate a visitor's situation and compare it with the eligibility criteria for more than 1,000 Federally-funded benefit and assistance programs. Each program description provides citizens with the next steps to apply for any benefit program of interest.

**Managing Partner:** Department of Labor

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's civilian Full Time Equivalent (FTE) divided by DHS's total civilian FTE multiplied by total estimated cost of the activity.

*Full Time Equivalent (FTE):* This activity requires 0 FTE.

**Grants Management Line of Business (GMLoB) – Government-wide Service Activity - \$.059 million**

*Description of Service:* The Grants Management Line of Business (GMLoB) is a Government-wide solution to support end-to-end grants management activities that promote citizen access, customer service, and agency financial and technical stewardship. Its objective is to establish common target architecture approaches, best practices, and business process and system solutions in grants management. GMLoB plans to support consortiums as points of consolidation for Grants Management. GMLoB aims to be a full-circle business process for grants, from application intake through closeout of the award and financial payout. GMLoB also provides federal assistance funding for competitive and noncompetitive awards.

*Managing Partner:* Department of Health and Human Services

*Managing Office:* Office of the Chief Information Officer

*Cost Allocation Methodology:* The cost allocation methodology is a pro-rata share based on the percent of each organization element's grant funding divided by DHS's total grant funding multiplied by total estimated cost of the activity.

*Full Time Equivalent (FTE):* This activity requires 0 FTE.

**Financial Management Line of Business (FMLoB) – Government-wide Service Activity - \$.142 million**

*Description of Service:* The Financial Management Line of Business (FMLoB) goals are to define, analyze, and implement options that will enhance cost savings in the financial management systems, provide for standardization of business processes and data models, promote seamless data exchange between Federal agencies, and strengthen internal controls through integration of core financial and subsidiary systems. The FMLoB's current objective is to improve the cost, quality, and performance of financial management reducing the number of noncompliant systems by leveraging common standards, shared service solutions, and implementing other government-wide reforms that foster efficiencies in Federal financial operations.

*Managing Partner:* General Services Administration

*Managing Office:* Office of the Chief Information Officer

*Cost Allocation Methodology:* The cost allocation methodology for this activity is a pro-rata share based on the percent of each component's adjusted total budget, divided by DHS' adjusted total budget (excluding grant funding) and multiplied by total estimated cost of the activity.

*Full Time Equivalent (FTE):* This activity requires 0 FTE.

**e-Gov Integrated Acquisition Environment – Government-wide Service Activity - \$1.668 million**

**Description of Service:** The e-Gov Integrated Acquisition Environment (IAE) is a Presidential e-Government initiative managed by GSA. IAE supports and automates the procurement process through the use of shared systems which are required by regulation.

**Managing Office:** Office of the Chief Procurement Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the average percentage of each component's number of procurement transactions, dollar value of procurement transactions and number of procurement personnel.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

### **e-Gov Disaster Management – Government-wide Service Activity - \$12.178 million**

**Description of Service:** The Federal Emergency Management Agency (FEMA) has developed a Public Web Strategic Plan that focuses on achieving greater cost efficiencies, improving ease of access to key disaster preparedness and assistance information for the American public, and instituting an agency wide, web-centric culture for information sharing and collaboration. The focus of the Disaster Management (DM) Program supports this plan by ensuring that the information that is relevant to disaster survivors, the general public and the emergency management community is organized and presented in a manner that engages and improves the overall user experience. Adopting a new, up-to-date content management system (CMS), consolidating websites, centralizing operational and maintenance costs, and standardizing the way information is presented are key goals of the plan. The end result is to make the public web presence for FEMA a primary medium for information exchange in a manner that is cost effective, easier for all to use and maintain, and which has a much greater range of capabilities, including Web 2.0 functionality, all of which will help instill an internal web-centric culture within the programs across the agency.

**Managing Partner:** Federal Emergency Management Agency

**Managing Office:** Office of the Chief Information Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's level of participation in disaster management divided by the total sum of all Component levels of participation in disaster management multiplied by the total estimated cost of the activity. Levels of participation are determined by measuring a Component's active participation in 16 sixteen elements of disaster management, as defined by Disaster Management e-Government Initiative Program Office within FEMA. The 16 elements of Disaster Management include the following: (1) transportation, (2) communications, (3) public works and engineering, (4) firefighting/incident command system, (5) information and planning, (6) mass care, (7) resource support, (8) health and medical services, (9) search and rescue, (10) hazardous materials, (11) food, (12) energy, (13) warnings and alerts, (14) research and development, (15) emergency/domestic preparedness, and (16) disaster relief. The 16 elements are the cost drivers for each component's assessment and because many components are involved in various activities at different levels of participation, the cost for this activity is fairly uniform across the components.

***Full Time Equivalent (FTE):*** This activity requires 0 FTE.

**Department of Homeland Security  
Working Capital Fund  
DHS Cross Cutting Activities  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: DHS Cross Cutting Activities**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>4</b>	<b>4</b>	<b>9,784</b>
<b>2012 Enacted Budget Authority</b>	<b>2</b>	<b>2</b>	<b>17,703</b>
2013 Adjustments-to-Base	2	2	(2,788)
<b>2013 Current Services</b>	<b>4</b>	<b>4</b>	<b>14,915</b>
2013 Program Change	-	-	57
<b>2013 Total Requested Budget Authority</b>	<b>4</b>	<b>4</b>	<b>14,972</b>
Total Change 2012 to 2013	2	2	(2,731)

The Working Capital Fund requests \$14.972 million and 4 FTE for DHS Cross-Cutting Activities in FY 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Capital Planning And Investment Control (CPIC) – DHS Crosscutting Activity- \$7.639 million**

*Description of Service:* The Capital Planning and Investment Control (CPIC) process is a DHS Secretary’s Crosscutting Activity, and is required to comply with budget preparation guidance provided by OMB Circular A-11, and management guidance provided by OMB Circular A-130. Policy direction and process for DHS is provided by Management Directive 102 – Acquisition Management and Management Directive 1330 on Planning Programming, Budgeting and Execution (PPBE). This Activity provides services to support these efforts, including automated tools to assist with portfolio analyses, document preparation, document review and scoring, formal training, informational briefings, and remedial coaching to improve business case quality. It supports the Project Management Offices in preparing decision packages for DHS investment review boards at key acquisition decision points in their projects’ life cycle. CPIC is also the central point for the Department’s response to OMB initiatives and priorities on investment management, currently focusing on such Control Phase areas as consolidation, earned value management, and periodic project review.

*Managing Office:* Office of the Chief Information Officer

**Cost Allocation Methodology:** The Component's cost allocation methodology is based on the following factors: Number of Component Exhibits 300/Total DHS Exhibits 300 - % Contribution of Component X Total Cost of CPIC = Component Contribution for CPIC (Consolidated 300's will be distributed back to Components based on actual contribution shares).

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Strategic Sourcing – DHS Crosscutting Activity - \$2.105 million**

**Description of Service:** The Strategic Sourcing Program Office (SSPO) is responsible for implementing a Department-wide approach to acquiring goods and services. SSPO provides DHS stakeholders economic and performance benefits through collaboration, rigorous analysis, and enterprise planning for acquisition initiatives. The SSPO collaborates with stakeholders to develop, deploy, and maintain sourcing strategies that enhance mission performance, improve acquisition efficiency, and optimize commodity management.

**Managing Office:** Office of the Chief Procurement Officer

**Cost Allocation Methodology:** FY 2013 WCF assessments were allocated to components proportional to the average of the following two factors: (1) savings on DHS-wide contract vehicles and (2) spend excluding simplified acquisition spend. Data from Federal Procurement Data System-Next Generation is used to determine savings and spend by Component.

**Full Time Equivalent (FTE):** This activity requires 4 FTE.

**CPO Shared Reporting – DHS Crosscutting Activity - \$5.228 million**

**Description of Services:** The CPO Shared Reporting activity provides the DHS acquisition workforce with eProcurement systems and tools which leverage investment costs and promote competition, transparency, integrity and consistency.

**Managing Office:** Office of the Chief Procurement Officer

**Cost Allocation Methodology:** The cost allocation methodology for this activity is a pro-rata share based on the average percentage of each component's number of procurement transactions, dollar value of procurement transactions and number of procurement personnel.

**Full Time Equivalent (FTE):** This activity requires 0 FTE.

**Department of Homeland Security  
Working Capital Fund  
Working Capital Fund Management Activity  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Working Capital Fund Management Activity**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>8</b>	<b>8</b>	<b>1,154</b>
<b>2012 Enacted Budget Authority</b>	<b>8</b>	<b>8</b>	<b>1,632</b>
2013 Adjustments-to-Base	-	-	(320)
<b>2013 Current Services</b>	<b>8</b>	<b>8</b>	<b>1,312</b>
2013 Program Change	-	-	(6)
<b>2013 Total Requested Budget Authority</b>	<b>8</b>	<b>8</b>	<b>1,306</b>
Total Change 2012 to 2013	-	-	(326)

Working Capital Fund requests \$1.306 million and 8 FTE for this activity in FY 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Working Capital Fund Operations – WCF Management Activity - \$1.306 million**

**Description of Service:** The Working Capital Fund Operations office manages the WCF and provides policy, procedures, budget formulation, execution and customer dispute resolution services. Services are provided to the activity managers as well as customer Components across DHS.

**Budget Formulation Services:**

- Oversee budgets, and perform or direct financial management duties and responsibilities.
- Provide direction and assistance to program managers in the development of operating plans, budgets, and supporting documents relating to use of the WCF.
- In coordination with the Director of Financial Operations, make recommendations on operating plans, rate structures and activities to be supported by the fund.

**Budget Execution Services:**

- Review financial reports for conformance with program and financial plans, and inform senior management and program officials of trends and changes.

**Managing Office:** Office of the Chief Financial Officer

***Cost Allocation Methodology:*** The cost allocation methodology for this activity is a pro-rata share based on the percent of each Component's WCF assessment amount divided by the total WCF assessment multiplied by total estimated cost of the activity.

***Full Time Equivalent (FTE):*** This activity requires 8 FTE.



## IV. Program Justification Changes

**Department of Homeland Security  
Working Capital Fund  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Financial Statement Audit  
PPA: Fee for Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$774

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	19,005
Program Increase							-	-	774
<b>Total Request</b>	-	-	<b>13,643</b>	-	-	<b>19,107</b>	-	-	<b>19,779</b>

### *Description of Item*

The DHS Office of the Inspector General (OIG) awards a contract to an independent Certified Public Accounting (CPA) firm to perform financial statement audit functions. The costs include travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the Office of the Inspector General as the Contracting Officer's Technical Representative (COTR). The award is made under a GSA schedule contract.

### *Justification*

In FY 2011, the Department received a qualified opinion on its audited Consolidated Balance Sheet and Statement of Custodial Activity. For FY 2012 and beyond, the Secretary and Senior Leadership have placed an emphasis on progressing to an unqualified opinion on a full scope audit, which includes the audit of three additional financial statements: (1) Statements of Net Cost; (2) Statements of Changes in Net Position; and (3) Statements of Budgetary Resources, and related note disclosures. The OIG has indicated that achieving a full scope audit will increase billable hours by approximately 30%. In addition, the National Flood Insurance Program will also receive an audit of its Balance Sheet.

### *Impact on Performance*

The FY 2011 audit is the result of management improvements throughout DHS, which we will continue to build upon as we strengthen and mature management processes and standards across the

Department. The Department is committed to expanding the scope of our audit, with the goal of obtaining an audit opinion on all financial statements. Without an increase in budget authority, it is unlikely that the Department will be able to complete a full scope audit in FY 2013.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Internal Control Audit  
PPA: Fee for Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$367

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	1,866
Program Increase							-	-	367
<b>Total Request</b>	-	-	<b>1,289</b>	-	-	<b>1,875</b>	-	-	<b>2,233</b>

***Description of Item***

The Internal Control over Financial Reporting is conducted in conjunction with the Financial Statement Audit. The contract includes internal control audit services with the auditor providing the services through a time and materials contract. The cost includes travel and incidental costs associated with the performance of the audit as permitted by the contract maintained by the OIG as the COTR. The award will be made under a GSA schedule contract.

***Justification***

In FY 2011, the Department received a qualified opinion on its audited Consolidated Balance Sheet and Statement of Custodial Activity. For FY 2012 and beyond, the Secretary and Senior Leadership have placed an emphasis on progressing to an unqualified opinion on a full scope audit, which includes audit of the internal controls associated with three additional financial statements: (1) Statements of Net Cost; (2) Statements of Changes in Net Position; and (3) Statements of Budgetary Resources, and related note disclosures. To achieve a full scope audit the OIG has indicated this will increase billable hours by approximately 75%. Since CBP already receives a full scope audit the likely increase in the billable rate is marginal at 5%.

***Impact on Performance***

The FY 2011 audit is the result of management improvements throughout DHS, which we will continue to build upon as we strengthen and mature management processes and standards across the Department. The Department is committed to expanding the scope of our audit, with the goal of

obtaining an audit opinion on all financial statements. Without an increase in budget authority, it is unlikely that the Department will be able to complete a full scope audit in FY 2013.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** Financial Accounting and Shared Services  
PPA: Fee for Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$1,391

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	25,004
Program Increase							-	-	1,391
<b>Total Request</b>	-	-	<b>27,393</b>	-	-	<b>25,209</b>	-	-	<b>26,395</b>

***Description of Item***

The Department of Homeland Security (DHS) Office of the Chief Financial Officer (OCFO) provides authorization for financial systems in DHS and sponsors, sets policy, and manages the development, implementation, operation and maintenance of the departmental financial management systems and related business processes. It has been determined by the DHS OCFO that selected financial management services will be obtained from U.S. Immigration and Customs Enforcement (ICE), hereafter referred to as ICE, on a reimbursable basis. Financial services provided by ICE are assessed according to the following categories: (1) financial reports, (2) obligations and payment processing, (3) system usage, (4) receipts, (5) payroll, (6) overhead, and (7) travel and cash management services.

***Justification***

The cost allocation methodology for this activity is based on the historical cost of providing seven categories of financial support to each participating component. The seven categories of financial support services include the following: (1) financial reports, (2) obligations and payment processing, (3) system usage, (4) receipts, (5) payroll, (6) overhead, and (7) travel and cash management services. The FY 2013 request is \$1.391 million more than the FY 2012 request level based on the projected increases in transactions, contract costs, rent, administrative costs, plus overhead IT cost for each component.

**Impact on Performance**

Without the increase in budget authority the Financial Accounting and Shared Services activity would be required to reduce its level of financial management support to the DHS HQ offices.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 4:** NCR Infrastructure OPS  
PPA: Fee for Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$51,428

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							73	73	147,149
Program Increase							-	-	51,428
<b>Total Request</b>	<b>61</b>	<b>61</b>	<b>119,892</b>	<b>30</b>	<b>30</b>	<b>148,010</b>	<b>73</b>	<b>73</b>	<b>198,577</b>

***Description of Item***

The National Capital Region Infrastructure Operations (NCRIO) serves the DHS Headquarters' and Component users for network, email, internet, intranet, and telecom infrastructure, as well as all end-user desktop computing, telecommunications, and wireless services. The OCIO's IT Services Office (ITSO) coordinates the management and deployment of infrastructure resources along with the infrastructure build-out of new facilities and provides continuous IT operations, service desk, vendor management, financial management, and technology evaluation.

***Justification***

The DHS NCRIO will incur an increase in costs for network storage and connectivity in FY2013, specifically due to the addition of 6,000 users to the NCR as a result of the Federal Protective Service (FPS) transition and the USCG move to the St. Elizabeth's campus. The NCRIO currently has authority from the Working Capital Fund Governance Board (WCFGB) to deliver IT infrastructure services to DHS HQ Components and St. Elizabeth's tenants accessing the DHS HQ unsecured network (ALAN) and to all DHS Components accessing the top secret network (CLAN). Prior to FY2013 FPS was a part of the ICE organization and will be coming into the DHS HQ organization under NPPD in FY2013. USCG will not be part of the DHS HQ organization but will be located at St. Elizabeth's which has been acknowledged to be part of the National Capital Region (NCR) and therefore now considered a part of the NCRIO. An increase in funding is necessary to provide for the expansion of services within the NCR. This overall growth necessitates procuring more IT personal and shared file storage space with the data center service providers, additional circuit bandwidth, as well as circuit redundancy for effective continuity and sustainment of daily operations. An increased cost for network infrastructure backbone equipment and software is associated with the increase of NCRIO users, as much of the current equipment is obsolete and no longer supported by the vendor

under a maintenance contract due to its age. Because of the increased customer base, additional service desk and end-user support personnel will be needed across the DHS Headquarters and Component operational sites. In addition to requirements associated with the increased number of direct users, in FY13 the NCRIO faces increased costs for its disaster recovery initiative. In the event of a catastrophic disaster, data recovery will provide uninterrupted IT services through [explain how]. These initiatives are necessary to strengthen and provide continuity of operations and management to the DHS network served by the NCRIO.

### ***Impact on Performance***

The initiatives described and the operations and maintenance of existing capabilities is necessary to achieve DHS' objective of improved IT performance and continuity of operations for system users. These enhancements also support the DHS strategic goal to strengthen and unify the Department's ability to share information and services internally and with Federal, State, local, tribal, international and private industry partners, strengthen and unify DHS Operations and Management.

DHS cannot properly operate and achieve its mission without reliable and consistent information technology and telecommunication services. The services required by DHS Components must be both predictable and recurring, because they cannot function without continuous information technology or telecommunications services. Without additional investment in disaster recovery, DHS Headquarters and Component missions would be greatly impacted during mass system outages that could occur during times of catastrophic disaster.

If additional customers are added without funding, the NCRIO WCF activity would be required to reduce or eliminate certain levels of IT service to all users in order to absorb the increase in requirements driven by user growth and the move to the St. Elizabeth's Campus.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 5:** Enterprise License Agreement  
PPA: Fee for Service Activity  
Program Increase: Positions 1, FTE 1, Dollars \$40,385

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							2	2	62,078
Program Increase							1	1	40,385
<b>Total Request</b>	<b>2</b>	<b>2</b>	<b>52,511</b>	<b>2</b>	<b>2</b>	<b>62,486</b>	<b>3</b>	<b>3</b>	<b>102,463</b>

***Description of Item***

This service allows Components to consolidate license requirements into a single enterprise-wide procurement to leverage DHS buying power. The activity further helps to decrease costs, reduce paperwork and save time by eliminating the need for repetitive, individual purchases from vendors. The Department continues to pursue opportunities to benefit from economies of scale, moving from Component or office specific software or hardware licenses to larger enterprise licenses for common services.

Historically, the existing Microsoft Enterprise Software License Agreement Working Capital Fund (WCF) provided for the funding and management of only the Microsoft Enterprise Software License Agreement. This activity has been expanded to include additional Enterprise License Agreements (ELAs) as the agreements are developed, including the Adobe Enterprise Software License Agreement, Oracle Enterprise Software License Agreement, Symantec Software Products, and Miscellaneous Services Agreements.

***Justification***

The existing Microsoft Enterprise Software License Agreement WCF provided for the funding and management of only the Microsoft Enterprise Software License Agreement, which provides enterprise access to the Microsoft suite of products. The products include the software needed for individual desktops, laptops, and server platforms, such as MS Office, MS Project, MS Visio, MS Advanced Server, etc. In FY 2012, the Adobe Enterprise Software License Agreement was added. For FY 2013, the activity is expanded to include the Oracle Enterprise Software License Agreement and Symantec



Software Products and Miscellaneous Services Agreement. This expansion of the existing WCF enables the Department to:

- More fully achieve the Federal Acquisition Streamlining Act (FASA) strategic goals and ensure a centralized funding and tracking mechanism for department wide software licenses.
- Create a WCF activity for ELAs that will allow DHS the ability to reduce the time and resources required to procure multiple license maintenance plans across the Department with multiple periods of performance.
- Negotiate more aggressive pricing on the purchase of software licenses and maintenance plans by leveraging all software spend across the Department.

These Enterprise Software License Agreements are utilized by all of DHS and reflect the contractual obligations of each of the Components. In addition, future expansion of this WCF activity is envisioned to include other Department-wide Enterprise Software and Hardware License Agreements.

### ***Impact on Performance***

This activity helps the agency to fulfill FASA requirements. It also helps to ensure legal licensing of all desktops and servers deployed throughout the enterprise. In addition, it implements governance over the contract vehicle through which enterprise licenses are purchased by DHS Component organizations. The failure to fund this program will limit the ability to service users, gain efficiencies of scale, and maintain information sharing across the DHS.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 6:** Enterprise Data Center O&M  
PPA: Fee for Service Activity  
Program Increase: Positions 34, FTE 34, Dollars \$180,778

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							34	34	180,778
<b>Total Request</b>	-	-	-	-	-	-	<b>34</b>	<b>34</b>	<b>180,778</b>

***Description of Item***

Components have been mandated to transition all systems and applications into the two DHS Enterprise Data Centers (EDCs). DHS receives an annual appropriation from Congress, specifically to continue system and application migration to the two DHS EDCs and closure of targeted legacy data centers, along with performing other activities to migrate systems from Component legacy data centers to the EDCs, including discovery, migration planning, and scheduling activities. The funds are requested to be included into the DHS Working Capital Fund (WCF) for centralized management and transparency.

Historically, DHS Office of the Chief Information Officer (OCIO) has funded the construction and the bulk of the operations and maintenance (O&M) costs associated with the establishment of the two EDCs. Currently Components with existing systems in the two data centers are paying for O&M costs through a fee-for-service chargeback mechanism. Components that are receiving migration funds through the WCF have three months of O&M costs included in their migration funds to cover the costs of O&M while they are transitioning into the data centers, but will be responsible for paying the sustained O&M costs once they are fully transitioned. In 2013, the Department proposes to move costs for ongoing O&M at the two EDCs into the WCF, as these are steady-state, recurring charges to the customers.

For the proposed methodology of collecting funds, the WCF would be used to collect annual option period O&M and rack rate fees from Customer applications that are known or existing as of the point in time when the WCF budget is formulated. Customers that do not meet the criteria will be billed as a Direct/Reimbursable Collection until the WCF is able to capture their O&M and rack fees via reprogramming or in future budget years, whichever is sooner.

### ***Justification***

The Data Center Consolidation WCF activity will provide the means by which to manage the funding for the on-going O&M at the EDCs. The WCF will allow DHS to act as a single bill payer to the data center service providers, will reduce necessary procurement activities, and will allow for greater transparency and more effective management of the goods and services being provided to the Department. By allowing for the central management of the contracts between Data Center providers, the Enterprise Data Center activity enables Components to focus their resources on their missions, rather than contracting and administrative support for acquiring data center services.

As Components migrate to the EDCs, the Department will eliminate further investments in legacy Component data center operations, including continuity of operations, maintenance, support, security certification and accreditation. The Department current projection for cost avoidance is \$2.8 billion through FY 2030. By including the on-going O&M collections in the WCF, the Department is able to achieve further benefits by ensuring that the service provider contracts are fully funded and paid on time, providing customers advance notice of future charges and reducing workload and time associated with executing interagency agreements. The table below outlines the projected FY 2013 O&M cost by Component.

**FY 2013 Enterprise Data Center**  
(dollars in thousands)

<b>Component</b>	<b>FY 2013*</b>
U.S. Customs and Border Protection	22,900
Federal Law Enforcement Training Center	7
U.S. Immigration and Customs Enforcement	19,153
Transportation Security Administration	10,471
Federal Emergency Management Agency	13,076
National Protection and Programs Directorate	10,070
Office of Health Affairs	116
Operations Coordination and Intel & Analysis	503
Science and Technology Directorate	1,307
Domestic Nuclear Detection Office	1,307
U.S. Coast Guard	0
U.S. Citizenship and Immigration Services	16,108
U.S. Secret Service	2,191
U.S. VISIT	59,228
Management Directorate	24,341
<b>TOTAL</b>	<b>180,778</b>

\*Costs include customer's existing and projected O&M, enterprise, and overhead charges for applications in the two EDCs

### ***Impact on Performance***

This increase provides funding for the on-going Component O&M requirements at the two EDCs. This action directly relates to *DHS Strategic Goal 3: "Protect Critical Infrastructure"*, *Strategic Objective 3.2 to "Ensure Continuity of Government Communications and Operations"*, and *DHS*

*Strategic Goal 5:” Strengthen and Unify DHS Operations and Management”*, *Strategic Objective 5.1 “Improve Department Governance and Performance”*. This action also directly supports OMB’s Federal Data Center Consolidation Initiative to promote the use of Green IT by reducing the overall energy and real estate footprint of government data centers; reducing the cost of data center hardware, software and operations; increasing the overall IT security posture of the government; and shifting IT investments to more efficient computing platforms and technologies.

When migrations to the EDCs are complete, DHS anticipates significant overall cost savings to exceed hundreds of millions of dollars per fiscal year after the ‘Break Even’ as projected in FY 2020. Cumulative savings/cost avoidance from FY 2019 thru FY 2030 is \$2.8 billion.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 7:** Homeland Security Presidential Directive 12  
PPA: Fee for Service Activity  
Program Increase: Positions 9, FTE 9, Dollars \$23,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							9	9	23,000
<b>Total Request</b>	-	-	-	-	-	-	<b>9</b>	<b>9</b>	<b>23,000</b>

***Description of Item***

The Identity Management Division (IMD), a division of the Office of the Chief Security Officer (OCSO), is a central headquarters (HQ) program that is charged with managing HSPD-12 across DHS through the issuance of a secure and reliable form of identification for its workforce and the modernization of the Department’s Physical Access Control Systems (PACS) located within an estimated 16,000 DHS facilities and sites. IMD will provide the necessary guidance and tools to facilitate this Department-wide program, creating a unified approach and solution, improving asset protection through secure and trusted facility access, enabling interoperability through standardization, achieving cost avoidance through the reduction of redundant infrastructures, and facilitating compliance with HSPD-12 and OMB M-11-11.

The HSPD-12 program supports DHS with services and technology to establish the DHS HSPD-12 infrastructure and issue DHS Personal Identity Verification (PIV) cards to customers. The HSPD-12 program will provide the following services to DHS customers: infrastructure services; policy development, governance, and compliance; service management; logistics and asset management; and PACS modernization services.

IMD is currently providing these services for all DHS users of the Identity Management System (IDMS). The IMD business activity coordinates: PIV card issuance functions at DHS PIV Card Issuance Facilities (PCIF) nationwide; HSPD-12 technology evaluation for future DHS use; continuous project management support for the deployment of enrollment/card issuance workstations (EIWS) to 1,049 DHS facilities/sites nationwide; vendor management and oversight of existing contracts; and budget and financial management. In addition, IMD coordinates PACS modernization activities across DHS, which includes the development of strategy, metrics, policy, and architectures

along with coordinating, managing, and monitoring the implementation of compliant PACS solutions across the DHS Enterprise.

The services have been provided to customers by a cadre of Government personnel and federal contractors. Since the standing up of HSPD-12, IMD Government personnel have primarily provided executive direction, planning, oversight, and only in some instances, direct service to end users. Federal contractors have provided technical and EIWS support to end users through contracts that are acquired, monitored, and managed by the IMD.

### ***Justification***

In February 2010, OMB directed DHS to identify funding for deploying, operating, and maintaining HSPD-12 in FY 2011 and future fiscal years. In addition, OMB directed the OCSO to centrally manage the funding via the Working Capital Fund to obtain HSPD-12 services and products for DHS HSPD-12 PIV card management. In FY 2011 and FY 2012, the HSPD-12 program is centrally managed by OCSO and executed under the Economy Act via Interagency Agreements (IAA) with DHS Components outside of the WCF. Although this is being requested as a new activity in FY 2013 within the WCF, this program has been an ongoing operation within DHS.

The Department will establish operational PCIFs nationwide from 25 to more than 300 by the end of FY 2013 to support borders, airports, ports of entry, Joint Field Offices for disasters, and other designated locations. The shared locations will avoid redundancies to ensure the Department gain economies of scale.

The OCSO requests inclusion of the HSPD-12 program within the WCF to gain Component efficiency and effectiveness by increasing interagency collaboration and synchronization in establishing and implementing a framework to provide mutually beneficial logistical and operation support. Of the \$23 million request for the HSPD-12 program, \$1.5 million will be used to fund 9 FTE to assist in management, oversight, and card issuance, \$15.7 million is estimated to fund the anticipated contractual requirements for PIV card program, and \$5.8 million for other costs including equipment purchases, travel, ancillary supplies, and printing services provided by GPO. The overarching rationale for a DHS-wide, centrally managed approach is as follows:

- A DHS-wide program approach will allow the Department to establish a performance-based contract, tied to defined metrics and issuance targets;
- Sharing credentialing resources among the Components for PIV card issuance will reduce redundancy and decrease card costs;
- The Department is more likely to obtain volume discounts for HSPD-12 related services and products if they are purchased collectively;
- A unified program approach will allow the Department to establish cohesive management structures. This will increase accountability and maintain program focus on meeting established program objectives and timelines; and
- Components have been actively engaged in defining the program strategy, aligning the program with Component-specific needs, and supporting a unified centrally managed approach.

### ***Impact on Performance***

The HSPD-12 Program will enhance the DHS effort of “Goal 7. Maturing and Strengthening the Homeland Security Enterprise” and is aligned to manage identification standards activity with the objective to improve DHS’s organizational and programmatic alignment and its management systems and processes.

IMD is currently reviewing the below metrics and developing a “system dashboard” to facilitate reporting to Components.

<b>Performance Area</b>	<b>Performance Standard</b>
Average PIV Processing Time	< 20 minutes
Average Cards Issued per EIWS	> 20 per day
Help Desk Responses to All Inquires	< 24 hours
EIWS Availability	> 99%
EIWS Availability Notification	> 95%
EIWS Return to Service	< 4 hours
PCIF Security Compliance Walkthroughs	Annually
System Role Account Activation/Deactivation	< 72 hours
EIWS New User Training	< 30 days upon receipt of Role Request
IDMS Software Release/Updates	< 30 business days of release

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 8:** Environmental Planning and Historic Preservation Decision Support System  
PPA: Fee for Service Activity  
Program Increase: Positions 1, FTE 1, Dollars \$467

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							1	1	467
<b>Total Request</b>	-	-	-	-	-	-	<b>1</b>	<b>1</b>	<b>467</b>

***Description of Item***

This WCF activity consists of a computerized system to facilitate environmental impact review of DHS activities, as required by the National Environmental Policy Act of 1970 (NEPA). These reviews may be required at any level of the organization; therefore the system is available to DHS employees to enter project related information. In addition to automating what is currently a manual process, the system will establish a standard of review and the capability to identify common issues and share best practices across the enterprise. Examples of DHS activities that may require this environmental impact review include but are not limited to organizational changes, federal assistance, construction, operations, purchasing, and research and development.

***Justification***

In FY13, EP&HP DSS requests I position and 1 FTE and \$.467K in total resources. The FTE will manage EP&HP DSS programmatic and contractual /hosting requirements. This will be the first fiscal year where the EP&HP DSS will be funded by the WCF. Through the use of a standard automated review process, the activity will decrease the total cost of environmental reviews, increase efficiency, improve the workflow of environmental reviews, and increase the quality of environmental reviews throughout the department. EP&HP DSS activity identified the potential for the cost avoidance derived from the system implementation to be over \$3,102,907 per year. System capabilities automate the current manual ad-hoc processes for project proponents to track the status of the reviews, supervisors to schedule workloads for environmental personnel, and program managers to collect the number and types of environmental reviews used in their component. The system will allow components to increase governance over personnel who conduct environmental reviews and allow those approved employees to focus on the review and not the collection of project information.



Currently the Department and Components conduct these reviews using a collection of locally evolved manual methods, involving reviewers to search for information, rework of information between proponents and reviews, absence of administrative record of review, no work flow oversight for supervisors and unqualified individuals conducting reviews.

***Impact on Performance***

If the FY 2013 EP&HP DSS requirements are approved the Department will be able to lower its cost of conducting environmental reviews.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 9:** Personnel Accountability System  
PPA: Fee for Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$1,241

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	1,241
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>1,241</b>

***Description of Item***

The 2008 Federal Continuity Directive-1 (FCD-1) requires the Department to have an agency-wide methodology to contact and account for DHS personnel in the event of a man-made or natural emergency. Currently, each Component (including Headquarters) maintains its own processes for contacting and/or accounting for personnel: TSA and CBP utilize a combination of call-back procedures with some automation; USCG is using a pilot automated accountability system from the Department of Navy’s Space and Naval Warfare Systems Command (SPAWAR); while the remaining Components rely on manual telephone tree call-down procedures. Due to a lack of reliability in process and practice, the Department’s current capability to account for personnel has consistently fallen short of the standards that all executive departments and agencies must meet under FCD-1.

In early FY2011, the Office of the Chief Human Capital Officer (OCHCO) performed a Requirements Analysis, and an Analysis of Alternatives that evaluated several automated systems. OCHCO selected FEMA’s Emergency Notification System (FEMA ENS) as the automated system to provide the required accountability functionality for all of DHS. While the final four automated systems considered were all capable of meeting the FCD-1 and DHS’ requirements, the FEMA ENS is currently operated and maintained within the DHS infrastructure, thus increasing the Department’s ability to ensure accountability service and reliable data availability during an emergency.

FEMA ENS has been operating for 10 years and is currently used by six Components for emergency notification. It will concurrently implement the FCD-1 and DHS Enterprise -wide requirements for personnel accountability. Additionally, the Department will be the system’s sole personnel accountability customer, thus ensuring consistency in personnel data gathering, status information, and the lowest risk to guaranteed service. The current FEMA ENS will be enhanced, through the

acquisition of an additional module (Global Alert Link), to provide the additional capability needed to provide a uniform DHS-wide Personnel Accountability System (DHS PAS).

### ***Justification***

The Statutory requirements for PAS are:

- National Security and Presidential Directive-51 / Homeland Security Presidential Directive-20 (May 2007)
- National Continuity Policy Implementation Plan (August 2007)
- Federal Continuity Directive 1 (FCD-1). This directive provides specific direction to the Executive Branch of the Federal Government for developing continuity programs and plans.

In May 2007, the President approved the National Continuity Implementation Plan (NCIP) to ensure that all Federal departments and agencies continue to carry out the most critical functions necessary to lead and sustain the Nation during a catastrophic emergency. The NCIP requires each agency develop the relevant policies, procedures, and processes to address its continuity of operations. The 2008 Federal Continuity Directive-1 (FCD-1) defines the critical elements of an effective continuity program. Specifically, in Section J, Human Capital Functions, the Directive states that agencies must implement a process to contact and account for all staff in the event of an emergency.

### ***Impact on Performance***

Without a consistent reliability in process and practice, the Department's current capability to account for personnel has consistently fallen short of the standards that all executive departments and agencies must meet under the 2008 Federal Continuity Directive-1 (FCD-1). For example, during the H1N1 Pandemic Influenza situation in 2009, OCHCO was once again unable to provide the most basic personnel reporting, or provide general information on simple requests i.e., "How many people have reported to duty today?" The only information OCHCO could provide was a minimum of two weeks old and based on time and attendance records from the previous pay period. Implementation of the DHS PAS system will mitigate many of these challenges by automating personnel contact function during an emergency situation.

**Department of Homeland Security**

**Working Capital Fund  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 10:** Data Center Migration  
 PPA: Fee for Service Activity  
 Program Increase: Positions 0, FTE 0, Dollars \$64,797

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	64,797
<b>Total Request</b>	-	-	<b>121,311</b>	-	-	<b>70,000</b>	-	-	<b>64,797</b>

***Description of Item***

OCIO requests \$64.797M to complete migration for CBP, TSA, and USCIS. Data Center Migration provides funding to Components to consolidate and assist migrating data center environments to the two enterprise-wide DHS data centers. By creating two redundant data centers, DHS is committed to the integration, consolidation, and the transformation of individual Component infrastructures into a single, world-class IT infrastructure capable of supporting the significant demands required of an organization of more than 200,000 employees.

Through the migration effort, Components relocate their existing or new applications to the two data centers; thus occupying a number of racks in the data centers and paying for the charges associated with this occupancy.

***Justification***

The purpose of this request is to continue execution of the planned timeline to migrate Component information systems, applications and disaster recovery facilities to the DHS Enterprise DCs. This will enable continued closures of the major Component data centers and achieve the Secretary’s goal of the Department’s consolidation to two data centers across the enterprise.

The transition to the DHS Enterprise DC architecture is standardizing IT resource acquisitions across all DHS Components, as well as streamlining the maintenance and support contracts, allowing for less complex vendor support and expediting response times during emergencies. Benefits derived from the transition to the DHS Enterprise DCs include increased security, enhanced operability, and long-term cost avoidances. DHS is placing information systems behind Trusted Internet Connections, thus

removing exposure of essential functions to those that would exploit weaknesses. Migration makes technologies available as easily ordered services and provides for DHS-wide standardization.

The funding will allow DHS to adhere to the following migration schedule:

<b>FY13 Migration Funding - Work Breakdown Schedule - OMB Passback</b>		
<b>Component</b>	<b>Projects/Tasks</b>	<b>\$64.797M</b>
<b>CBP</b>	Completion of all remaining Newington (NDC) CBP systems to DC1 and DC2	34.745
	Project management, planning and engineering	1.000
	<b>Total</b>	<b>35.745</b>
<b>TSA</b>	Completion of TTAC consolidation activity	10.755
	Colorado Springs Operations Center (CSOC)	
	Annapolis Junction Operations Center (AJOC)	
	Completion of National Traffic Safety Board (NTSB) Site- FAMS (Ashburn, VA) consolidation	2.000
	Project management, planning and engineering	
<b>Total</b>	<b>12.755</b>	
<b>USCIS</b>	Completion of Manassas TECC (Development & Test) consolidation	15.297
	Completion of consolidation of systems to DHS Data Centers: • Service Centers (California, Texas, Nebraska) • HQ (DC) • Records/Benefits Center (Missouri)	1.000
	Project management, planning and engineering	
	<b>Total</b>	<b>16.297</b>
<b>Grand Total</b>		<b>64.797</b>

***Impact on Performance***

This funding allows CBP, TSA, and USCIS to complete migration per the above schedule. It enables the OCIO to manage funding on IT infrastructure investment and operations and maintenance in support of the Department’s front-line operations as well as assurance of meeting the DHS’s contractual liabilities to the managed service providers.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 11:** E-Training  
PPA: Government Wide Mandated Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$483

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							7	7	10,433
Program Increase							-	-	483
<b>Total Request</b>	<b>5</b>	<b>5</b>	<b>5,977</b>	<b>8</b>	<b>8</b>	<b>10,501</b>	<b>7</b>	<b>7</b>	<b>10,916</b>

***Description of Item***

The DHS e-Training initiative is focused on strengthening and unifying DHS operations and management by taking an earned value approach to Information Technology Portfolio Management (IT PFM) in support of employee learning and development (L&D). Through consolidated systems and aligned business processes, the Advanced Distributed Learning Program Management Function (ADL PMF) within the Office of the Chief Human Capital Officer (OCHCO) serves to eliminate Department redundancies while increasing overall access to the highest quality ADL products and services. e-Training directly supports several government-wide initiatives as explained below. This activity benefits the Federal government, the Department, and the individual employee by:

- Reducing redundancies and achieving economies of scale in the purchase, deployment, and management of ADL technology infrastructure (e.g., Learning Management Systems (LMS), Learning Content Management Systems (LCMS) and/or other Information Technology (IT) hardware/software for Human Capital Performance Support (HCPS) tools), and the consolidation and/or sharing of hardware/software;
- Reducing redundancies and achieving economies of scale in the purchase and/or development of e-Learning courses and content (e.g., commercial-off-the-shelf (COTS) or custom-developed content to meet specific agency needs);
- Leveraging components of existing learning systems (e.g., LMS, LCMS, IT hardware, or HCPS tools) where clear value propositions exist;
- Offering user-friendly, one-stop access to a robust and high-quality learning environment;
- Encouraging ADL investments as part of a strategic, systematic, and continuous development of DHS human capital; and

- Fostering communication between Federal Human Resources Development (HRD) practitioners government-wide to identify, prioritize and develop solutions to issues of interest within the community, and to share best practices and resources where synergies are evident.

### ***Justification***

In FY 2013, the Department's projected funding requirements for this activity will increase by \$0.483 million from \$10.433 million to \$10.916 million to fund licensing support costs and an increase in dependency on centralized custom courseware development. e-Training directly supports the Department's strategic human capital management activity as defined in the Homeland Security Act (HR 5005), Title XIII, Section 1304 and academic training as described in Section 1331; the President's Management Agenda for e-Gov Initiatives; both the Office of Personnel Management's e-Training and Enterprise Human Resource Integration initiatives; and, specifically, Katrina Lessons Learned Recommendation 115.<sup>3</sup>

e-Training provides an enterprise approach to leveraging technology, to support learning and development programs, initiatives and capabilities. This includes an enterprise architecture approach to the modernization and reduction in complexity of DHS Learning Management Systems (LMS), building enhanced capability through tools such as web conferencing and closing existing and future gaps in structured learning opportunities by providing every DHS employee access to over 3,000 online courses and 12,000 online books.

### ***Impact on Performance***

The FY 2013 increase in funding will allow e-Training to continue to support the following critical goals:

- Further leverage simplicity thru reductions in Department-wide Information Technology (IT) infrastructure and redundancies in DHS-wide training needs; and
- Serve as key component to the DHS Chief Learning Officer's Strategy for establishing a Homeland Security University System.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 12:** Strategic Sourcing  
PPA: DHS Cross Cutting Activities  
Program Increase: Positions 0, FTE 0, Dollars \$57

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4	4	2,048
Program Increase							-	-	57
<b>Total Request</b>	<b>2</b>	<b>4</b>	<b>639</b>	<b>2</b>	<b>2</b>	<b>2,072</b>	<b>4</b>	<b>4</b>	<b>2,105</b>

***Description of Item***

The DHS Strategic Sourcing Program Office (SSPO) is responsible for implementing a Department-wide approach to acquiring goods and services. SSPO provides DHS stakeholders economic and performance benefits through collaboration, rigorous analysis, and enterprise planning for acquisition initiatives. SSPO collaborates with stakeholders to develop, deploy, and maintain sourcing strategies that enhance mission performance, improve acquisition efficiency, and optimize commodity management.

***Justification***

For FY 2013, SSPO requests an adjustment to base of 2 positions and 2 FTE in accordance with the DHS Balanced Workforce Initiative. Additionally, SSPO requests a program increase of \$.057K resulting from contractor conversions and improvements in operating efficiencies. SSPO previously had full time contractor support that it has since converted to government FTE positions.

***Impact on Performance***

SSPO establishes Department-wide contract vehicles to leverage DHS' buying power, receive the lowest price possible, and eliminate redundant acquisitions. The FY13 decrease in WCF funding indicated above is due to improved management efficiencies and will have minimal impact on overall SSPO performance.



**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 13:** e-gov Integrated Acquisition Environment  
PPA: Government Wide Mandated Service Activity  
Program Increase: Positions 0, FTE 0, Dollars \$237

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	1,431
Program Increase							-	-	237
<b>Total Request</b>	-	-	<b>1,668</b>	-	-	<b>1,443</b>	-	-	<b>1,668</b>

***Description of Item***

The eGov Integrated Acquisition Environment (IAE) activity is a secure business environment that facilitates and supports cost-effective acquisition of goods and services in support of mission performance. IAE reimburses the General Services Administration (GSA), the eGov Portfolio Manager, for DHS' share of costs associated with the IAE systems and program:

- Wage Determinations On-Line
- Online Representations and Certifications
- Federal Procurement Data System
- Federal Business Opportunities
- Electronic Subcontracting Reporting Systems
- Excluded Parties List System
- Central Contractor Registration
- Federal Agency Registration
- Dun and Bradstreet
  
- Managing Partner:
- Under Secretary for Management
- Office of the Chief Procurement Officer
- Office of Strategic Support
- Acquisition Systems Branch

***Justification***

With the funding increase of \$.237 million, e- Integrated Acquisition Environment (IAE) as the Presidentially-mandated e-Gov initiative charged with creating a government-wide "environment" of acquisition related systems will continue to support federal acquisition throughout all federal agencies. It constitutes approximately 17 operational systems supporting federal buyers and their own contract

writing system, which is PRISM for DHS. PRISM is directly dependent on the IAE, and interfaces with more than one of the IAE systems.

***Impact on Performance***

The increase in funding will allow DHS to reimburse the General Services Administration (GSA), the eGov Portfolio Manager, for DHS' share of actual costs associated with the IAE systems and program.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Consolidated Subscriptions  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(20,186)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							5	5	31,305
Program Decrease							-	-	(20,186)
<b>Total Request</b>	<b>4</b>	<b>4</b>	<b>8,394</b>	<b>5</b>	<b>5</b>	<b>31,387</b>	<b>5</b>	<b>5</b>	<b>11,119</b>

***Description of Item***

The Department of Homeland Security (DHS) Library and Information Services’ mission is to provide the DHS program managers and their end users with desktop access to mission critical, authoritative, timely, relevant, commercial information content products and services. The activity was established in 2004 to implement DHS-wide information assets supporting decision making, enforcement, investigation, research and academic information gathering activities of the DHS workforce. The activity collaborates with the Library of Congress (LOC) FEDLINK program through which the LOC consolidates the buying power for federal agencies.

***Justification***

The DHS Library and Information Services activity was established in 2004 to implement the functional integration of DHS-wide information assets supporting decision making, enforcement, investigation, research and academic information gathering activities for the DHS workforce.

In FY2013, the Department’s projected funding requirements for this activity will decrease by \$20.268 million from \$31.305 million to \$11.119 million due to a projected decrease in usage of service and account requests. The Department has strived to reduce the costs of subscriptions, publications, electronic journals, data base subscriptions and books.

***Impact on Performance***

If the FY 2013 consolidated subscription services requirements are approved the Department will continue offering subscription services to the Components thru the LOC Fedlink program.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** GSA Rent  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(1,041)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							5	5	94,849
Program Decrease							-	-	(1,041)
<b>Total Request</b>	<b>4</b>	<b>4</b>	<b>75,386</b>	<b>5</b>	<b>5</b>	<b>95,439</b>	<b>5</b>	<b>5</b>	<b>93,808</b>

***Description of Item***

The General Services Administration (GSA) provides workspace and related services for over 100 Federal client agencies serving more than one million workers through the Public Buildings Service (PBS). GSA also provides related real estate services including the operation and maintenance of buildings and out-leasing programs. GSA’s Computer Integrated Facility Management Program uses cutting edge technology to look at the buildings life cycle. Real estate services provided to clients appear in Federal agencies monthly electronic rent bills.

The Department has established a clearing account to expedite the payment of WCF GSA rent billings for the Department of Homeland Security headquarters offices, excluding the major Components, which pay their rent expenses directly to GSA. The monthly WCF bills include all GSA-controlled space that the Department headquarters occupies, including parking spaces allotted to the Department.

***Justification***

The net decrease of \$1.041 million in the rent cost is due revised projections in current GSA Rent customer’s occupancy agreements. In addition, the GSA Rent activity incorporated FPS as new customer into the activity. FPS is now under NPPD, their 37,474 sq ft headquarters location at 800 N Capital St will be also be added under the WCF for a total rent cost of \$2.2M.

***Impact on Performance***

If the FY 2013 rent requirements are not approved there will be an impact on meeting the Departments rent obligations to GSA and FPS.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 3:** Financial Management Operations  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(17)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							32	32	4,239
Program Decrease							-	-	(17)
<b>Total Request</b>	<b>28</b>	<b>28</b>	<b>3,033</b>	<b>15</b>	<b>15</b>	<b>5,083</b>	<b>32</b>	<b>32</b>	<b>4,222</b>

***Description of Item***

The Office of Financial Operations (OFO) provides financial management to the offices within the Office of the Secretary and Executive Management (OSEM), the Under Secretary for Management (USM), the Office of the Chief Financial Officer (OCFO), and the Office of the Chief Information Officer (OCIO).

This funding provides the personnel and materials to perform the following budget execution activities:

- Procurement Requisition Operations and Management
- Invoice and IPAC Operations and Management
- Travel Operations Support and Management
- Payroll Reclassification, Reconciliation and Reporting Management
- Purchase Card Operations Management

***Justification***

In FY 2013, the Department’s projected funding requirements for this activity will decrease by \$.017 million from \$4.239 million to \$4.223 million due to improved financial management efficiencies.

***Impact on Performance***

The requested funding for FY 2013 will allow the Financial Management Operations branch to resource to continue providing financial management services the DHS HQ offices.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 4:** Headquarters Human Capital Services  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(46)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							81	81	14,260
Program Decrease							-	-	(46)
<b>Total Request</b>	<b>79</b>	<b>79</b>	<b>10,001</b>	<b>51</b>	<b>51</b>	<b>15,248</b>	<b>81</b>	<b>81</b>	<b>14,214</b>

***Description of Item***

The HQ Service Center provides coordination and oversight support for outsourced services supporting HQ Human Capital operational needs. The HQ Services provide the following: Staffing and Recruitment; Position Classification/Position Management; Performance Management; Payroll and Personnel Action Processing; Employee and Labor Relations Support; Retirements and Benefits Support; Time and Attendance Support.

***Justification***

In FY 2013, the Department’s projected funding requirements for this activity will decrease by \$.046 million from \$14.260 million to \$14.214 million to provide continued operational oversight of all HQ Human Services due to improved management efficiencies.

***Impact on Performance***

The requested FY 2013 funding level will allow the HQ Service Center to continue providing staffing services, recruitment and on-boarding processes for the Department.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 5:** HCBS Payroll Services Operations  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(15)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							21	21	7,766
Program Decrease							-	-	(15)
<b>Total Request</b>	<b>16</b>	<b>16</b>	<b>6,890</b>	<b>24</b>	<b>24</b>	<b>7,989</b>	<b>21</b>	<b>21</b>	<b>7,751</b>

***Description of Item***

The mission of the HCBS is to design, develop, acquire, implement, maintain and support DHS enterprise-wide human capital business systems and reduce costs by consolidating the number and variety of DHS human capital systems maintained.

HCBS offers several enterprise-wide systems to include: web-based Time & Attendance; Personnel and Payroll; and other enterprise HR services and applications to include supporting the Enterprise Integration Environment (EIE), which allows hosting and integration of enterprise application data. In each case, the components are supported by the HCBS unit in a collaborative and leveraged approach.

***Justification***

In FY 2013, the Department’s projected funding requirements for this activity will decrease by \$.015 million from \$7.766 million to \$7.750 million due to improved management efficiencies in delivering enterprise-wide system support to the components.

***Impact on Performance***

The requested funding level will allow HCBS to continuously deliver enterprise-wide support and solutions to meet the requirements of its customers.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 6:** DHS Executive Leadership Program  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(3)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4	4	969
Program Decrease							-	-	(3)
<b>Total Request</b>	<b>2</b>	<b>2</b>	<b>451</b>	<b>2</b>	<b>2</b>	<b>1,544</b>	<b>4</b>	<b>4</b>	<b>966</b>

***Description of Item***

The DHS SES CDP serves as a cornerstone for sustaining a corporate leadership identity as directed in the DHS Strategic Plan, contributes to meeting the succession planning goals, and creates a high-quality SES leadership cadre. It is also a critical element in sustaining a “Green” rating on OMB’s Human Capital Scorecard.

This centralized program complements and enhances the strengths of existing component leadership development initiatives across the Department and further facilitates succession planning opportunities. It provides the opportunity for participants to take advantage of developmental/rotational opportunities in other DHS components, thereby increasing participant’s corporate DHS knowledge and experience. In addition, components benefit from these rotational assignments by having a senior staff person working with them on real issues and offering different perspectives and/or business experiences.

***Justification***

In FY 2013, the Department’s projected funding requirements for this activity will decrease by \$.003 million from \$0.969 million to \$0.966 million due to improved management efficiencies.

***Impact on Performance***

At the requested level, DHS will continue to support the integration of the SES CDP.



**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 7:** CIO/DHS Infrastructure Transformation Program  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(22)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							17	17	52,276
Program Decrease							-	-	(22)
<b>Total Request</b>	<b>13</b>	<b>13</b>	<b>51,152</b>	<b>10</b>	<b>10</b>	<b>57,762</b>	<b>17</b>	<b>17</b>	<b>52,254</b>

*Description of Item*

The Infrastructure Transfer Program (ITP) implements the DHS Chief Information Officer’s (CIO) vision of One Infrastructure, which requires an integrated IT infrastructure to serve as the foundation for information sharing and agile responses to threats against the homeland. ITP was chartered by the Deputy Secretary as a DHS Level 1 investment with the following project domain initiatives included in the scope of the transformation effort: Network Services, Email Services, Data Center, and Wireless. A majority of the ITP WCF supports DHS enterprise-wide IT infrastructure O&M activities for Network Services (OneNet). OneNet provides a reliable, resilient, and secure DHS-wide area data network that facilitates appropriate sharing and discovery of information within the Department and associated organizations, including state, local and tribal partners.

*Justification*

In FY 2013, the Department’s projected funding requirements for this activity will decrease by \$.022 million from \$52.276 million to \$52.254 million due to improved management costs of operations. The Department of Homeland Security (DHS) continues to make significant progress towards integrating the Department. Critical to the success of DHS is the consolidation of the information technology (IT) infrastructure, which provides the foundation for information sharing and agile responses to threats against the homeland. The Infrastructure Transformation Program (ITP) is a group of interrelated initiatives designed to create a robust platform on which to quickly launch new capabilities. The program seeks to improve the Department's Information Technology (IT) infrastructure by unifying disparate Component information technology networks, platforms and services to provide a common IT infrastructure across the Department.

***Impact on Performance***

The FY 2013 request level will allow ITP to continue operations and maintenance of high risk areas with the DHS core networks.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 8:** Procurement Operations  
PPA: Fee for Service Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(172)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							256	256	47,701
Program Decrease							-	-	(172)
<b>Total Request</b>	<b>246</b>	<b>246</b>	<b>46,814</b>	<b>250</b>	<b>250</b>	<b>52,991</b>	<b>256</b>	<b>256</b>	<b>47,529</b>

***Description of Item***

The DHS Office of Procurement Operations (OPO) provides full service acquisition support to OSEM, USM, S&T, USCIS, NPPD, OHA, OIG, A&O, DNDO and USVISIT. In addition, the OPO provides acquisition services for department-wide acquisition initiatives identified by both the Chief Information Officer and the various commodity councils within DHS. Services provided include acquisition planning, training, execution, and administrative services.

***Justification***

OPO’s mission is to obtain the best value products and services for our DHS customers, using innovation and continuous process improvements for managing and implementing acquisitions; while supporting the mission, ensuring compliance and preserving the trust of the public. The office of Procurement Operations has established five essential goals to ensure it will fulfill its mission:

- Goal 1: Develop the OPO Acquisition Workforce - Supports the Chief Procurement Officer’s priority to hire and retain Quality People through early identification of staffing needs, training, and priorities.
- Goal 2: Improve the Quality and Accuracy of Acquisition Documentation Submitted to OPO Supports the Chief Procurement Officer’s priorities to execute Quality Contracting and Quality Acquisition Management through improved lead times, the utilization of Integrated Project Teams to enhance customer service, and strict adherence to statutes, regulations, and DHS directives.
- Goal 3: Improve Customer Advance Acquisition Planning - Supports the Chief Procurement Officer’s priorities to execute Quality Contracting and Quality Acquisition Management by increasing competition, ensuring greater participation by small businesses, and improving the quality and presentation of solicitation and contract documents.

Goal 4: Improve Contract Administration - Supports the Chief Procurement Officer's priorities to execute Quality Contracting and Quality Acquisition Management through the timely delivery of quality products and services to meet mission objectives.

Goal 5: Achieve Accuracy and Completeness of Data Contained in Procurement and Related Systems - Supports the Chief Procurement Officer's priorities to execute Quality Contracting and Quality Acquisition Management by ensuring timely and accurate reporting for all procurement actions, eliminating redundant reporting, and making data readily accessible to respond to data calls.

In FY 2013, the Department's projected funding requirements for this activity will decrease by \$.172 million from \$47.701 million to \$47.529 million due to management's efficiencies in acquisition support services.

### ***Impact on Performance***

The requested funding level will continue to support congressional, Government Accountability Office (GAO) and the DHS Inspector General (OIG) mandates to achieve adequate acquisition workforce and skills competencies levels to ensure appropriate oversight and execution of federal contracting.

**Department of Homeland Security**  
**Working Capital Fund**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 9:** Working Capital Fund Operations  
PPA: Working Capital Fund Management Activity  
Program Decrease: Positions 0, FTE 0, Dollars \$(6)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							8	8	1,312
Program Decrease							-	-	(6)
<b>Total Request</b>	<b>8</b>	<b>8</b>	<b>1,154</b>	<b>8</b>	<b>8</b>	<b>1,632</b>	<b>8</b>	<b>8</b>	<b>1,306</b>

***Description of Item***

The Working Capital Fund Operations provides policy, procedures, budget formulation, execution and customer dispute resolution services in managing the WCF. Services are provided to the activity managers as well as customer Components across DHS.

***Justification***

In FY 2013, the Department’s projected funding requirements for this activity will decrease by \$0.006 million from \$1.312 million to \$1.306 million due to improved management efficiencies to reduce the costs of support services to the WCF.

***Impact on Performance***

The FY 2013 budget request level will allow DHS to continue providing oversight of the management and financial operations of the WCF.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*SEC. 504. The Department of Homeland Security Working Capital Fund, established pursuant to section 403 of Public Law 103–356 (31 U.S.C. 501 note), shall continue operations as a permanent working capital fund for fiscal year 2013 AND HEREAFTER: Provided, That none of the funds appropriated or otherwise made available to the Department of Homeland Security may be used to make payments to the Working Capital Fund, except for the activities and amounts allowed in the President’s fiscal year 2013 budget: Provided further, That funds provided to the Working Capital Fund shall be available for obligation until expended to carry out the purposes of the Working Capital Fund: Provided further, That all departmental components shall be charged only for direct usage of each Working Capital Fund service: Provided further, That funds provided to the Working Capital Fund shall be used only for purposes consistent with the contributing component: Provided further, That the Working Capital Fund shall be paid in advance or reimbursed at rates which will return the full cost of each service. Provided further, That the Working Capital Fund shall be subject to the requirements of section 503 of this Act.*

## B. FY 2012 to FY 2013 Budget Change

### Department of Homeland Security Working Capital Fund FY2012 to FY2013 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>479</b>	<b>472</b>	<b>649,656</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>412</b>	<b>412</b>	<b>752,041</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
Balance Workforce-DHS Exc. LDR (SES CDP)	2	2	-
Balance Workforce-HQ Human Capital Services	30	30	-
Balance Workforce-Infrastructure Transformation Program	7	7	-
Balance Workforce-National Capital Region Infrastructure Region	43	43	-
Balance Workforce-Office of Financial Ops	17	17	-
Balance Workforce-Procurement Ops	6	6	-
Balance Workforce-Strategic Sourcing	2	2	-
FY 2013 Pay Increase	-	-	358
Right-sizing - Consolidated Subscriptions	(1)	(1)	-
Right-sizing - HCBS Payroll Services Operations	(3)	(3)	-
Right-sizing - eTraining	(1)	(1)	-
<b>Total, Increases</b>	<b>102</b>	<b>102</b>	<b>358</b>
<b>Decreases</b>	-	-	-
FY 2012 Base Adjustment	-	-	(153,018)
Management Efficiencies	-	-	(3,959)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(156,977)</b>
<b>Total, Adjustments-to-Base</b>	<b>102</b>	<b>102</b>	<b>(156,619)</b>
<b>FY 2013 Current Services</b>	<b>514</b>	<b>514</b>	<b>595,422</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Data Center Migration	-	-	64,797
E-Training	-	-	483
Enterprise Data Center O&M	34	34	180,778
Enterprise License Agreement	1	1	40,385
Environmental Planning and Historic Preservation Decision Support System	1	1	467
Financial Accounting and Shared Services	-	-	1,391
Financial Statement Audit	-	-	774
Homeland Security Presidential Directive 12	9	9	23,000
Internal Control Audit	-	-	367
NCR Infrastructure OPS	-	-	51,428
Personnel Accountability System	-	-	1,241
Strategic Sourcing	-	-	57
e-gov Integrated Acquisition Environment	-	-	237
<b>Total, Increases</b>	<b>45</b>	<b>45</b>	<b>365,405</b>
<b>Decreases</b>	-	-	-
CIO/DHS Infrastructure Transformation Program	-	-	(22)
Consolidated Subscriptions	-	-	(20,186)
DHS Executive Leadership Program	-	-	(3)
Financial Management Operations	-	-	(17)
GSA Rent	-	-	(1,041)
HCBS Payroll Services Operations	-	-	(15)
Headquarters Human Capital Services	-	-	(46)
Procurement Operations	-	-	(172)
Working Capital Fund Operations	-	-	(6)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(21,508)</b>
<b>Total, Program Changes</b>	<b>45</b>	<b>45</b>	<b>343,897</b>

<b>FY 2013 Requested Budget Authority</b>	<b>559</b>	<b>559</b>	<b>939,319</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>147</b>	<b>147</b>	<b>187,278</b>



## C. Summary of Requirements

**Department of Homeland Security**  
**Working Capital Fund**  
**Summary of Requirements**  
(Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	479	472	649,656
<b>FY 2012 Enacted Budget Authority</b>	412	412	752,041
<b>Adjustments-to-Base</b>	-	-	-
Increases	102	102	358
Decreases	-	-	(156,977)
<b>Total, Adjustments-to-Base</b>	102	102	(156,619)
<b>FY 2013 Current Services</b>	514	514	595,422
<b>Program Changes</b>	-	-	-
Increases	45	45	365,405
Decreases	-	-	(21,508)
<b>Total, Program Changes</b>	45	45	343,897
<b>FY 2013 Requested Budget Authority</b>	559	559	939,319
<b>FY 2012 to FY 2013 Total Change</b>	147	147	187,278

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Fee for Service Activity	394	394	699,962	101	101	(152,225)	45	45	343,126	540	540	890,863	146	146	190,901
Government Wide Mandated Service Activity	8	8	32,744	(1)	(1)	(1,286)	-	-	720	7	7	32,178	(1)	(1)	(566)
DHS Cross Cutting Activities	2	2	17,703	2	2	(2,788)	-	-	57	4	4	14,972	2	2	(2,731)
Working Capital Fund Management Activity	8	8	1,632	-	-	(320)	-	-	(6)	8	8	1,306	-	-	(326)
<b>Total</b>	<b>412</b>	<b>412</b>	<b>752,041</b>	<b>102</b>	<b>102</b>	<b>(156,619)</b>	<b>45</b>	<b>45</b>	<b>343,897</b>	<b>559</b>	<b>559</b>	<b>939,319</b>	<b>147</b>	<b>147</b>	<b>187,278</b>

**D. Summary of Reimbursable Resources**

Not applicable

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**Working Capital Fund**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	48,631	52,783	57,657	4,874
11.3 Other than full-time permanent	13	500	500	-
11.5 Other personnel compensation	110	1,043	1,122	79
12.1 Benefits	13,521	17,578	20,061	2,483
<b>Total, Personnel and Other Compensation Benefits</b>	<b>62,275</b>	<b>71,904</b>	<b>79,340</b>	<b>7,436</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	216	238	245	7
22.0 Transportation of things	84	3	18	15
23.1 GSA rent	82,109	69,414	83,097	13,683
23.2 Other rent	-	126	125	(1)
23.3 Communications, utilities, and misc. charges	126	10,758	10,972	214
24.0 Printing	6	5	1,939	1,934
25.1 Advisory and assistance services	84,496	76,021	80,409	4,388
25.2 Other services	5,142	70,135	77,396	7,261
25.3 Purchases from Gov't accts.	140,008	38,476	38,535	59
25.4 O&M of facilities	203,033	154,551	555	(153,996)
25.5 R&D of contracts	173	-	154	154
25.6 Medical care	1	-	1	1
25.7 Operation and maintenance of equipment	8,373	228,721	531,075	302,354
25.8 Subsistence & Support of persons	7,174	-	-	-
26.0 Supplies and materials	1,115	1,489	1,837	348
31.0 Equipment	55,325	30,200	33,621	3,421
<b>Total, Other Object Classes</b>	<b>587,381</b>	<b>680,137</b>	<b>859,979</b>	<b>179,842</b>
<b>Total, Direct Obligations</b>	<b>649,656</b>	<b>752,041</b>	<b>939,319</b>	<b>187,278</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>649,656</b>	<b>752,041</b>	<b>939,319</b>	<b>187,278</b>
<b>Full Time Equivalents</b>	<b>472</b>	<b>412</b>	<b>559</b>	<b>147</b>

## F. Permanent Positions by Grade

### Department of Homeland Security Working Capital Fund Permanent Positions by Grade

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	4	2	3	1
Total, EX	-	-	1	1
GS-15	143	124	132	8
GS-14	129	132	151	19
GS-13	66	49	115	66
GS-12	50	37	58	21
GS-11	36	24	36	12
GS-9	19	27	27	-
GS-8	7	7	13	6
GS-7	14	6	17	11
GS-6	6	1	1	-
GS-5	2	3	3	-
GS-4	3	-	1	1
GS-3	-	-	1	1
<b>Total Permanent Positions</b>	<b>479</b>	<b>412</b>	<b>559</b>	<b>147</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	479	412	559	147
<b>Total, Working Capital Fund</b>	<b>479</b>	<b>412</b>	<b>559</b>	<b>147</b>
<b>Full Time Equivalents</b>	<b>472</b>	<b>412</b>	<b>559</b>	<b>147</b>
Average ES Salary	138,500	139,600	141,833	2,233
Average GS Salary	90,279	100,844	102,524	1,680
Average Grade	13	14	14	-

**G. Capital Investment and Construction Initiative Listing**  
N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
Working Capital Fund  
Working Capital Fund Management Activity  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	697	1,221	905	(316)
11.3 Other than full-time permanent	8	-	-	-
11.5 Other personnel compensation	26	-	-	-
12.1 Benefits	206	221	221	-
<b>Total, Personnel and Compensation Benefits</b>	<b>937</b>	<b>1,442</b>	<b>1,126</b>	<b>(316)</b>
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	9	20	12	(8)
25.3 Purchases from Gov't accts.	207	160	160	-
25.6 Medical care	1	-	-	-
26.0 Supplies and materials	-	10	8	(2)
<b>Total, Other Object Classes</b>	<b>217</b>	<b>190</b>	<b>180</b>	<b>(10)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,154</b>	<b>1,632</b>	<b>1,306</b>	<b>(326)</b>
<b>Full Time Equivalents</b>	<b>8</b>	<b>8</b>	<b>8</b>	<b>-</b>

### Working Capital Fund Management Activity Mission Statement

The WCF Management Activity includes funding for the staff that develops WCF policy and procedures, formulates and executes the WCF budget and facilitates dispute resolution of issues between activity managers and customers.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	697	1,221	905	(316)
11.3 Other than full-time permanent	8	-	-	-
11.5 Other personnel compensation	26	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	697	1,221	905	(316)
12.1 Benefits	206	221	221	-
<b>Total, Salaries &amp; Benefits</b>	<b>937</b>	<b>1,442</b>	<b>1,126</b>	<b>(316)</b>

The Working Capital Fund FY13 supports projected salaries and benefits requirements for 8 positions and 8 FTE's.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$9	\$20	\$12	-\$8

In FY13 the WCF PPA request a decrease of \$.008M to support other services requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	\$10	\$8	-\$2

In FY13 the WCF PPA requests a decrease of \$.002M to the supplies and materials account. Then decrease of \$2K is in support of management efficiencies.

**Department of Homeland Security**  
**Working Capital Fund**  
**DHS Cross Cutting Activities**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	500	531	530	(1)
12.1 Benefits	140	118	120	2
<b>Total, Personnel and Compensation Benefits</b>	<b>640</b>	<b>649</b>	<b>650</b>	<b>1</b>
<b>Other Object Classes</b>	-	-	-	-
25.1 Advisory and assistance services	750	9,732	9,023	(709)
25.2 Other services	3,731	5,337	5,298	(39)
25.3 Purchases from Gov't accts.	2,602	1,984	-	(1,984)
26.0 Supplies and materials	-	1	1	-
31.0 Equipment	2,061	-	-	-
<b>Total, Other Object Classes</b>	<b>9,144</b>	<b>17,054</b>	<b>14,322</b>	<b>(2,732)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>9,784</b>	<b>17,703</b>	<b>14,972</b>	<b>(2,731)</b>
<b>Full Time Equivalents</b>	<b>4</b>	<b>2</b>	<b>4</b>	<b>2</b>

**DHS Cross Cutting Activities Mission Statement**

The DHS cross cutting activities are Department-wide programs managed by a single office that yield some benefit to all DHS Components, such as Strategic Sourcing. The actual costs of the programs are recouped by redistributing the costs to the Components based on their share of the discretionary budget, staffing or some other fair and equitable pro-rata basis.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	500	531	530	(1)
12.1 Benefits	140	118	120	2
<b>Total, Salaries &amp; Benefits</b>	<b>640</b>	<b>649</b>	<b>650</b>	<b>1</b>

In FY13, the WCF's DHS Crosscutting PPA requests a 0.5% pay inflation adjustment of \$2K for the Strategic Sourcing activity to support 5 positions and 5 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$750	\$9,732	\$9,023	-\$709



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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In FY13, the WCF's DHS Crosscutting PPA requests a decrease of \$.709M to the advisory and assistance services object class. The decrease is for an object class realignment of \$709K to cover contractor conversions, travel and supply requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$3,731	\$5,337	\$5,298	-\$39

In FY13, the WCF's DHS Crosscutting PPA requests a decrease of \$.039M to the other services object class in support of management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$2,602	\$1,984	0	-\$1,984

In FY13 the DHS Crosscutting PPA request a decrease of \$1.984M to the Purchases From Gov't Accounts due to projected reduction in interagency agreements between DHS and other federal agencies.

**Department of Homeland Security**  
**Working Capital Fund**  
**Government Wide Mandated Service Activity**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	513	2,350	2,332	(18)
11.5 Other personnel compensation	7	5	5	-
12.1 Benefits	150	881	875	(6)
<b>Total, Personnel and Compensation Benefits</b>	<b>670</b>	<b>3,236</b>	<b>3,212</b>	<b>(24)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5	5	3	(2)
25.1 Advisory and assistance services	8,593	1,303	-	(1,303)
25.2 Other services	164	14,652	14,542	(110)
25.3 Purchases from Gov't accts.	5,388	11,038	11,930	892
25.7 Operation and maintenance of equipment	-	2,510	2,491	(19)
31.0 Equipment	12,269	-	-	-
<b>Total, Other Object Classes</b>	<b>26,419</b>	<b>29,508</b>	<b>28,966</b>	<b>(542)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>27,089</b>	<b>32,744</b>	<b>32,178</b>	<b>(566)</b>
<b>Full Time Equivalents</b>	<b>5</b>	<b>8</b>	<b>7</b>	<b>(1)</b>

**Government Wide Mandated Service Activity Mission Statement**

Government-wide Service Activities are Administration-sponsored initiatives that are managed by a designated Federal department to improve overall government performance. Other departments are assessed for the cost of supporting the activity. The activities should also provide a direct benefit to participating Components. Examples include the government-wide e-Government initiatives and the OMB-sponsored Interagency Councils.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	513	2,350	2,332	(18)
11.5 Other personnel compensation	7	5	5	-
12.1 Benefits	150	881	875	(6)
<b>Total, Salaries &amp; Benefits</b>	<b>670</b>	<b>3,236</b>	<b>3,212</b>	<b>(24)</b>

In FY13, the Government wide Mandated Services PPA requests a net decrease of \$.024M for the salaries and benefits account. The net decrease includes the following: an increase of \$.016M for 0.5% pay inflation and a \$.040M decrease to salaries and benefits projections for the E-training activity.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$5	\$5	\$3	-\$2

In FY13 the DHS Crosscutting PPA request a decrease of \$.002M from the Travel object class as a result of efficiencies identified pursuant to Executive Order 1589.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$8,593	\$1,303	0	-\$1,303

In FY13, the Government wide Mandated Services PPA requests a realignment of \$1.3M to the purchases of government accounts to reflect IAA's with external government entities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$164	\$14,652	\$14,542	-\$110

In FY13, the Government wide Mandated Services PPA requests a decrease of \$.110M for management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$5,388	\$11,038	\$11,930	\$892

In FY13, the Government wide Mandated Services PPA requests an net increase \$1.303M to the purchases from government accounts line item. The net increase includes an object class realignment of \$.982M from the advisory and assistance account and a decrease of \$.411M in management efficiencies to support a departmental-wide reduction.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	\$2,510	\$2,491	-\$19

In FY13, the Government wide Mandated Services PPA requests a net decrease of \$.019M for management efficiencies.

**Department of Homeland Security**  
**Working Capital Fund**  
**Tri-Bureau Service Activity**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.1 Advisory and assistance services	363	-	-	-
25.3 Purchases from Gov't accts.	33,888	-	-	-
<b>Total, Other Object Classes</b>	<b>34,251</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,251</b>	-	-	-
<b>Full Time Equivalents</b>	-	-	-	-

**Tri-Bureau Service Activity Mission Statement**

The WCF Tri-Bureau Service activity provides IT support such as data center services provided by the Department of Justice (DOJ) to WCF customers.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

**Department of Homeland Security**  
**Working Capital Fund**  
**Fee for Service Activity**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	46,921	48,681	53,890	5,209
11.3 Other than full-time permanent	5	500	500	-
11.5 Other personnel compensation	77	1,038	1,117	79
12.1 Benefits	13,025	16,358	18,845	2,487
<b>Total, Personnel and Compensation Benefits</b>	<b>60,028</b>	<b>66,577</b>	<b>74,352</b>	<b>7,775</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	211	233	242	9
22.0 Transportation of things	84	3	18	15
23.1 GSA rent	82,109	69,414	83,097	13,683
23.2 Other rent	-	126	125	(1)
23.3 Communications, utilities, and misc. charges	126	10,758	10,972	214
24.0 Printing	6	5	1,939	1,934
25.1 Advisory and assistance services	74,790	64,986	71,386	6,400
25.2 Other services	1,238	50,126	57,544	7,418
25.3 Purchases from Gov't accts.	97,923	25,294	26,445	1,151
25.4 O&M of facilities	203,033	154,551	555	(153,996)
25.5 R&D of contracts	173	-	154	154
25.6 Medical care	-	-	1	1
25.7 Operation and maintenance of equipment	8,373	226,211	528,584	302,373
25.8 Subsistence & Support of persons	7,174	-	-	-
26.0 Supplies and materials	1,115	1,478	1,828	350
31.0 Equipment	40,995	30,200	33,621	3,421
<b>Total, Other Object Classes</b>	<b>517,350</b>	<b>633,385</b>	<b>816,511</b>	<b>183,126</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>577,378</b>	<b>699,962</b>	<b>890,863</b>	<b>190,901</b>
<b>Full Time Equivalents</b>	<b>455</b>	<b>394</b>	<b>540</b>	<b>146</b>

**Fee for Service Activity Mission Statement**

DHS WCF activity managers provide or coordinate delivery of a specific service or benefit to DHS components. The benefit/cost for providing the WCF activity is tangible and is directly linked to a components use of services or products. An example of a fee for service activity is print and electronic access subscription services through the Library of Congress FEDLINK. These WCF activities are reimbursed for the provision of services, and have characteristics typical of a business enterprise. The costs for operating the business are reimbursed by billing customers for the provision of goods and services at rates that are pre-approved by the CFO and reviewed by component customers. Each fee for service activity is expected to recover its operational expenses, usually at a much lower cost as the components benefit from economies of scale. Examples include: GSA rent and real estate services, IT and telecommunication services, human resource services, procurement operations, and financial management services.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	46,921	48,681	53,890	5,209
11.3 Other than full-time permanent	5	500	500	-
11.5 Other personnel compensation	77	1,038	1,117	79
12.1 Benefits	13,025	16,358	18,845	2,487
<b>Total, Salaries &amp; Benefits</b>	<b>60,028</b>	<b>66,577</b>	<b>74,352</b>	<b>7,775</b>

In FY13, the WCF's Fee for Service PPA requests an increase of \$7.775M. The increase includes 45 additional FTE for HSPD-12, EDC O&M, NCR, ELA, EP&HP DSS.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$211	\$233	\$242	\$9

In FY13, the WCF's Fee for Service PPA requests an increase of \$.009M to the travel object class to cover travel requirements for the HSPD-12 activity.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$84	\$3	\$18	\$15

In FY13, the WCF's Fee for Service PPA requests an increase of \$.015M to the transportation of things account to cover transportation requirements for the HSPD-12 activity.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$82,109	\$69,414	\$83,097	\$13,683

In FY13, the WCF Fee for Service request includes an increase for FPS rent cost of \$2.2M. The remaining \$11.4M is for additional customer based requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$126	\$125	-\$1

In FY13, the WCF Fee of Service PPA requests a decrease of \$.001M due to a projected reduction in rent requirements paid outside of GSA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$126	\$10,758	\$10,972	\$214

In FY13, the WCF Fee for Service PPA requests \$.214M to cover the Information Technology requirements for the Department for NCRIO activity.

	FY 2011	FY 2012	FY 2013	FY 2012 to

	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
24.0 Printing	\$6	\$5	\$1,939	\$1,934

In FY13, the WCF Fee for Service PPA requests \$1.934M for HSPD-12 for all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY13 request includes costs associated with card stock purchases with GPO and \$1.3M for NCRIO printing requirements. The additional \$.334M is related to projected cost increases across the Fee for Service PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$74,790	\$64,986	\$71,386	\$6,400

In FY13, the WCF's Fee for Service PPA requests a net increase of \$6.4M to the advisory and assistance services object class. The net increase includes the following adjustments: management efficiencies of \$3.5M; \$10.64M increase due to contractor related costs associated with card issuance, management, and back end infrastructure support for the HSPD-12 initiative. The remaining funds \$.740M is due to projected increases to existing contracting services for the activities within the PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$1,238	\$50,126	\$57,544	\$7,418

In FY13, the WCF Fee for Service PPA includes a \$7.1M increase to cover additional cost requirements for the departmental wide Financial Statement Audit and Internal Control audit requirements. The additional \$.318M includes cost adjustments for current service requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$97,923	\$25,294	\$26,445	\$1,151

In FY13, the WCF Fee for Service PPA requests an increase of \$1.151M to cover GSA fee requirement for the Rent activity.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$203,033	\$154,551	\$555	-\$153,996

In FY13, the WCF Fee of Service PPA request includes a decrease of \$.153M to current operations and maintenance of facilities requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	0	0	\$1	\$1

In FY13, the WCF Fee for Service PPA includes an increase of \$.001M in funding for the federal occupational health shared service for the HSPD-12 activity.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	<b>\$8,373</b>	<b>\$226,211</b>	<b>\$528,584</b>	<b>\$302,373</b>

In FY13, the WCF Fee for Service PPA includes an increase of \$78M for NCR, \$48M for ELA and \$176M for EDC-O&M for operations and maintenance of information technology equipment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$1,115</b>	<b>\$1,478</b>	<b>\$1,828</b>	<b>\$350</b>

In FY13, the WCF's Fee for Service PPA requests an increase of \$.350M to support HSPD-12, EDC-O&M, EP&HP DSS basic supply and material requirements for the program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$40,995</b>	<b>\$30,200</b>	<b>\$33,621</b>	<b>\$3,421</b>

In FY13, the WCF Fee for Service PPA request includes funding of \$3.4M for the purchase of card enrollment/issuance workstations for deployment to DHS facilities for the HSPD-12 activity.



## I. Changes In Full Time Equivalent

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>374</b>	<b>472</b>	<b>412</b>
<b>Increases</b>			
Description: Government Wide Mandated Services	5	-	-
Description: DHS Cross Cutting Activities	2	(2)	2
Description: WCF Management	1	-	-
Description: Fee For Service Activities	89	-	191
Description: Tri-Bureau Activities	1	-	-
<b>Subtotal, Increases</b>	<b>98</b>	<b>(2)</b>	<b>193</b>
<b>Decreases</b>			
Description: DHS Cross Cutting Activities	2	(2)	2
Description: Fee for Service Activities	-	(58)	(45)
Description: Government -Wide Mandated Service	-	-	(1)
<b>Subtotal, Decreases</b>	<b>2</b>	<b>(60)</b>	<b>(44)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>474</b>	<b>410</b>	<b>561</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>100</b>	<b>(62)</b>	<b>149</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Fee for Service Activity	\$577,378	\$699,962	\$890,963	\$190,901
Tri-Bureau Service Activity	34,251	0	0	0
Government Wide Mandated Service Activity	27,089	32,744	32,178	-566
DHS Cross Cutting Activities	9,784	17,703	14,972	-2,731
Working Capital Fund Management Activity	1,154	1,632	1,306	-326
<b>Total Working Capital Fund</b>	<b>649,656</b>	<b>752,041</b>	<b>939,319</b>	<b>187,278</b>

Fee for Service Activity	FY 2011 Actuals		FY 2012 Enacted		FY 2013 Request		Delta FY2013- FY 2012	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
GSA RENT	4	75,386	5	95,439	5	93,808	-	(1,631)
FEDLINK/(Library of Congress)	4	8,394	5	31,387	4	11,119	(1)	(20,268)
Financial Management (Finance & Acctg Shared Services)	-	27,393	-	25,209	-	26,394	-	1,185
Financial Statement Audit	-	13,643	-	19,107	-	19,779	-	672
Internal Control Audit	-	1,289	-	1,876	-	2,233	-	357
Financial Management (OFO)	28	3,033	15	5,083	32	4,223	17	(860)
Bankcard Program	-	56	-	62	-	55	-	(7)
TIER	-	379	-	922	-	717	-	(205)
NFC Payroll Services & Reporting	-	36,289	-	40,117	-	36,017	-	(4,100)
HQ Human Capital Services	79	10,001	51	15,248	83	14,214	32	(1,034)
HCBS/Payroll Service Ops	16	6,890	24	7,988	21	7,750	(3)	(238)
Flexible Spending Plan	-	2,141	-	2,772	-	2,125	-	(647)
DHS Executive Leadership Development/Secretary's Leadership	2	451	2	1,544	4	966	2	(578)
HQ Executive Leadership Development (TEI; SES FORUM and Employee Assistance Program)	-	301	-	312	-	304	-	(8)
CIO/DHS Infrastructure Transf Pgm	13	51,152	10	57,762	17	52,254	7	(5,508)
NCR Infrastructure Operations	61	119,892	30	148,010	73	198,578	43	50,568
Enterprise Licenses Agreements	2	52,511	2	62,486	3	102,463	1	39,977
Procurement Operations	246	46,814	250	52,991	256	47,529	6	(5,462)
Data Center Consolidation		121,311		131,585	-	64,797	-	(66,788)
Data Center O&M					34	180,778	34	180,778
HSPD- 12					9	23,000	9	23,000
Personnel Accountability System						1,241	-	1,241
EP&HP DSS					1	468	1	468
<b>Sub-Total</b>	<b>455</b>	<b>577,377</b>	<b>394</b>	<b>699,962</b>	<b>542</b>	<b>890,863</b>	<b>148</b>	<b>190,901</b>
Tri-Bureau Service Activity	FY 2011 Actuals		FY 2012 Enacted		FY 2013 Request		Delta FY2012- FY 2013	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Tri-bureau Human Resources Shared Services	-	-	-	-	-	-	-	-
IT Services from DOJ	-	34,251	-	-	-	-	-	-
<b>Sub-Total</b>	<b>-</b>	<b>34,251</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

Government-wide Mandated Service Activity	FY 2011 Actuals		FY 2012 Enacted		FY 2013 Request		Delta FY2012- FY 2013	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Interagency Council Funding	-	885	-	911	-	878	-	(33)
(USA)job Recruitment One-Stop	-	1,079	-	1,227	-	1,182	-	(45)
e-Training	5	5,977	8	10,501	5	10,916	(3)	415
Enterprise HR Integration (EHRI)	-	3,768	-	4,563	-	3,740	-	(823)
Business Gateway	-	-	-	-	-	-	-	-
e-Rulemaking	-	243	-	447	-	354	-	(93)
e-Travel	-	-	-	-	-	-	-	-
Case Management Line of Business	-	-	-	-	-	-	-	-
e-Grants.gov	-	333	-	333	-	331	-	(2)
e-Authentication	-	-	-	-	-	-	-	-
Human Resources Line of Business	-	215	-	271	-	213	-	(58)
e-govBenefits	-	164	-	217	-	163	-	(54)
Financial Management Line of Business	-	71	-	143	-	142	-	(1)
Geospatial Line of Business	-	62	-	62	-	61	-	(1)
IT Infrastructure Line of Business	-	-	-	-	-	-	-	-
Budget Formulation and Execution LoB	-	105	-	107	-	104	-	(3)
IAE Loans & Grants	-	190	-	190	-	189	-	(1)
e-gov.Integrated Acquisition Environment	-	1,668	-	1,443	-	1,668	-	225
e-gov. Disaster Management	-	12,269	-	12,270	-	12,178	-	(92)
Grants Management LoB	-	59	-	59	-	59	-	-
<b>Sub-Total</b>	<b>5</b>	<b>27,088</b>	<b>8</b>	<b>32,744</b>	<b>5</b>	<b>32,178</b>	<b>(3)</b>	<b>(566)</b>
DHS Crosscutting Activity	FY 2011 Actuals		FY 2012 Enacted		FY 2013 Request		Delta FY2012- FY 2013	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Capital Planning and Investment Control (CPIC)		5,414		7,899	-	7,639	-	(260)
Ready Campaign (Ready.gov)		-		-	-	-	-	-
Strategic Sourcing	4	639	2	2,072	4	2,105	2	33
CPO Shared Reporting	-	3,731	-	7,732	-	5,228	-	(2,504)
<b>Sub-Total</b>	<b>4</b>	<b>9,784</b>	<b>2</b>	<b>17,703</b>	<b>4</b>	<b>14,972</b>	<b>2</b>	<b>(2,731)</b>
Working Capital Fund Operations	FY 2011 Actuals		FY 2012 Enacted		FY 2013 Request		Delta FY2012- FY 2013	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
	8	1,154	8	1,632	8	1,306	-	(326)
<b>Sub-Total</b>	<b>8</b>	<b>1,154</b>	<b>8</b>	<b>1,632</b>	<b>8</b>	<b>1,306</b>	<b>-</b>	<b>(326)</b>
<b>Grand Totals</b>	<b>472</b>	<b>649,654</b>	<b>412</b>	<b>752,041</b>	<b>559</b>	<b>939,319</b>	<b>147</b>	<b>187,278</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

The FY 2013 WCF requests include \$0 and 107 FTE for the DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase/Decrease		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Financial Analyst (OFO)	14	14					2	2	1	1	17	17
HR Specialist ( HCS)	30	30							0	0	30	30
Program Analyst ( Strategic Sourcing)	2	2							0	0	2	2
Program Analyst DHS Executive Leadership (SES, CDP)	2	2							0	0	2	2
Information Technology Spec (ITP)	7	7							0	0	7	7
Associate Directors (OPO)	0	0							3	3	3	3
Contract Officers (OPO)	0	0							3	3	3	3
NCR – IT Specialist	41	39					2	4	0	0	43	43
<b>Total</b>	<b>96</b>	<b>94</b>					<b>4</b>	<b>6</b>	<b>7</b>	<b>7</b>	<b>107</b>	<b>107</b>

### **FY 2013 DHS Balanced Workforce Strategy**

Provide additional details on the FY 2013 DHS Balanced Workforce including:

- Amount of funding needed to hire Federal employees - \$3,686,000
- Amount of the Contract that will be terminated or reduced. \$3,868,000
- Implementation Timeline – *Do you expect any overlap of contractor and Federal employees (for training etc)? When will the contract end?* The WCF does not expect any overlap of contractor and Federal employees. The WCF service providers are using a combined strategy of reducing contracts (contractors) at the end of the option period, attrition, and right-sizing contracts to ensure that federal hiring dates are concurrent with contract reduction dates.
- Identify any contractor functions that will be eliminated or absorbed by current federal employees and do not require additional new federal positions. Currently the WCF programs have not identified contractor functions that will be eliminated or absorbed by current federal employees.

### **DHS Balanced Workforce Strategy Follow-On**

The WCF in FY2012 by reduced it's over reliance on contractor support and re-directing the contractor dollars to fund federal FTE. In doing so, the WCF will gain much greater control and accountability of outcomes, and more importantly, will be appropriately staffed to implement key program strategies and operations.

### **Working Capital Fund Customer Assessment:**

Found immediately below is the WCF's customer assessment table. The WCF customer assessment table reflects an adjusted FY 2012 Base level of \$630 million, pursuant to the Department's reprogramming request. The amount is \$122 million less than the FY 2012 Enacted level of \$752 million. The reduction based upon revised growth projections previously submitted in the FY 2012 President's Budget. Additional detail will be provided in the Department's reprogramming request, which will be submitted to Congress following the submission of this document in FY 2012.

Manager	DHS Working Capital Fund Activities	U.S. Customs & Border Protection FY11 Actuals	U.S. Customs & Border Protection FY12 Base	U.S. Customs & Border Protection FY13 Request	Delta FY13 -FY12
	<b>Fee for Service Activity</b>				
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 2,284,722	\$ 3,049,169	\$ 3,427,397	\$ 378,228
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 3,274,077	\$ 3,274,077	\$ 3,746,871	\$ 472,794
CFO	<a href="#">Internal Control Audit</a>	\$ 292,236	\$ 292,236	\$ 349,575	\$ 57,339
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ 47,776	\$ (3,806)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 8,126,600	\$ 8,126,600	\$ 7,954,203	\$ (172,397)
CHCO	<a href="#">HO Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 1,903,932	\$ 2,157,874	\$ 2,130,491	\$ (27,383)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 567,447	\$ 567,447	\$ 563,190	\$ (4,257)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 66,138	\$ 142,661	\$ 141,419	\$ (1,242)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 12,128,191	\$ 12,483,148	\$ 12,243,206	\$ (239,942)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 1,117,681	\$ 1,117,616	\$ 831,956	\$ (285,660)
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 10,898,067	\$ 11,548,395	\$ 15,934,652	\$ 4,386,257
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 32,866,150	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 22,900,155	\$ 22,900,155
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 45,889	\$ 45,889
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 5,567,558	\$ 5,567,558
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 426,473	\$ 426,473
	<b>Fee for Service Sub-Total</b>	<b>\$ 73,552,347</b>	<b>\$ 42,810,805</b>	<b>\$ 76,310,811</b>	<b>\$ 33,500,006</b>
	<b>Tri-Bureau Service Activity</b>				
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
	<b>Tri-Bureau Sub-Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
	<b>Government-wide Mandated Service Activity</b>				
CFO	<a href="#">Interagency Council Funding</a>	\$ 209,556	\$ 209,556	\$ 211,950	\$ 2,394
CHCO	<a href="#">USA Jobs</a>	\$ 371,598	\$ 410,294	\$ 406,312	\$ (3,982)
CIO - CHCO	<a href="#">e-Training</a>	\$ 1,509,769	\$ 2,778,665	\$ 3,570,835	\$ 792,170
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 1,297,970	\$ 1,297,970	\$ 1,285,367	\$ (12,603)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 61,236	\$ 89,848	\$ 85,545	\$ (4,303)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 74,111	\$ 74,111	\$ 73,392	\$ (719)
CIO	<a href="#">e-GovBenefits</a>	\$ 53,159	\$ 53,159	\$ 52,920	\$ (239)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 17,976	\$ 35,953	\$ 34,232	\$ (1,721)
CIO	<a href="#">Geospatial LOB</a>	\$ 15,604	\$ 15,604	\$ 14,857	\$ (747)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 26,426	\$ 26,426	\$ 25,163	\$ (1,263)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 200,783	\$ 202,209	\$ 224,581	\$ 22,372
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 1,015,917	\$ 1,016,000	\$ 1,008,380	\$ (7,620)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 61,411	\$ 61,411	\$ 61,135	\$ (276)
CIO	Grants Management Line of Business	\$ -	\$ -	\$ -	\$ -
	<b>Gov Mandated Sub-Total</b>	<b>\$ 4,915,516</b>	<b>\$ 6,271,206</b>	<b>\$ 7,054,669</b>	<b>\$ 783,463</b>
	<b>DHS Crosscutting Activity</b>				
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 845,496	\$ 1,202,019	\$ 1,122,209	\$ (79,810)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 200,740	\$ 551,044	\$ 563,392	\$ 12,348
CPO	<a href="#">CPO Shared Reporting</a>	\$ 287,939	\$ 406,557	\$ 310,366	\$ (96,191)
	<b>DHS Crosscutting Sub-Total</b>	<b>\$ 1,334,176</b>	<b>\$ 2,159,620</b>	<b>\$ 1,995,967</b>	<b>\$ (163,653)</b>
	<b>WCF Management Activity</b>				
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 138,054	\$ 157,448	\$ 127,937	\$ (29,511)
	<b>WCF Mgt Sub-Total</b>	<b>\$ 138,054</b>	<b>\$ 157,448</b>	<b>\$ 127,937</b>	<b>\$ (29,511)</b>
	<b>DHS Working Capital Fund Total Activities</b>	<b>\$ 79,940,093</b>	<b>\$ 51,399,079</b>	<b>\$ 85,489,384</b>	<b>\$ 34,090,305</b>



Manager	DHS Working Capital Fund Activities	Federal Law Enforcement Training Center FY11 Actuals	Federal Law Enforcement Training Center FY12 Base	Federal Law Enforcement Training Center FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 22,417	\$ 29,917	\$ 31,715	\$ 1,798
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 290,856	\$ 290,856	\$ 391,997	\$ 101,141
CFO	<a href="#">Internal Control Audit</a>	\$ 40,531	\$ 40,531	\$ 75,997	\$ 35,466
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 6,330	\$ 6,330	\$ 5,644	\$ (686)
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ 47,776	\$ (3,806)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 332,539	\$ 332,539	\$ 316,050	\$ (16,489)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 48,949	\$ 55,478	\$ 54,409	\$ (1,069)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 17,747	\$ 17,747	\$ 17,614	\$ (133)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 5,377	\$ 11,598	\$ 11,498	\$ (100)
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 271,110	\$ 279,044	\$ 350,105	\$ 71,061
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 550,064	\$ 560,974	\$ 730,147	\$ 169,173
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 7,732	\$ 7,732
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,292	\$ 15,292
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 314,243	\$ 314,243
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 8,088	\$ 8,088
<b>Fee for Service Sub-Total</b>		<b>\$ 1,613,026</b>	<b>\$ 1,676,596</b>	<b>\$ 2,378,307</b>	<b>\$ 701,711</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 5,972	\$ 5,972	\$ 5,713	\$ (259)
CHCO	<a href="#">USA Jobs</a>	\$ 7,040	\$ 7,773	\$ 7,706	\$ (67)
CIO - CHCO	<a href="#">e-Training</a>	\$ 70,309	\$ 129,401	\$ 67,723	\$ (61,678)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 24,589	\$ 24,589	\$ 24,377	\$ (212)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 1,758	\$ 2,580	\$ 2,306	\$ (274)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 1,404	\$ 1,404	\$ 1,392	\$ (12)
CIO	<a href="#">e-Gov Benefits</a>	\$ 1,210	\$ 1,210	\$ 1,204	\$ (6)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 516	\$ 1,032	\$ 923	\$ (109)
CIO	<a href="#">Geospatial LOB</a>	\$ 448	\$ 448	\$ 400	\$ (48)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 759	\$ 759	\$ 678	\$ (81)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 53,619	\$ 54,000	\$ 57,183	\$ 3,183
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 1,397	\$ 1,397	\$ 1,391	\$ (6)
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 169,021</b>	<b>\$ 230,565</b>	<b>\$ 170,996</b>	<b>\$ (59,569)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 131,664	\$ 187,183	\$ -	\$ (187,183)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 70,259	\$ 192,853	\$ 22,527	\$ (170,326)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 178,908	\$ 252,609	\$ 169,096	\$ (83,513)
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 380,830</b>	<b>\$ 632,645</b>	<b>\$ 191,623</b>	<b>\$ (441,022)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 5,208	\$ 5,939	\$ 3,796	\$ (2,143)
<b>WCF Mgt Sub-Total</b>		<b>\$ 5,208</b>	<b>\$ 5,939</b>	<b>\$ 3,796</b>	<b>\$ (2,143)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 2,168,085</b>	<b>\$ 2,545,745</b>	<b>\$ 2,744,722</b>	<b>\$ 198,977</b>

Manager	DHS Working Capital Fund Activities	U.S. Immigration & Customs Enforcement FY11 Actuals	U.S. Immigration & Customs Enforcement FY12 Base	U.S. Immigration & Customs Enforcement FY13 Request	Delta FY13 -FY12
	<b>Fee for Service Activity</b>				
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 2,405,684	\$ 3,210,604	\$ 2,729,448	\$ (481,156)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 1,607,453	\$ 1,607,453	\$ 2,174,104	\$ 566,651
CFO	<a href="#">Internal Control Audit</a>	\$ 84,071	\$ 84,071	\$ 271,525	\$ 187,454
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 6,765	\$ 6,764	\$ 5,659	\$ (1,105)
CFO	<a href="#">TIFER</a>	\$ 27,106	\$ 51,582	\$ 47,776	\$ (3,806)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 2,956,027	\$ 2,956,027	\$ 2,823,821	\$ (132,206)
CHCO	<a href="#">HO Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 862,937	\$ 978,033	\$ 959,296	\$ (18,737)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 339,370	\$ 339,370	\$ 336,825	\$ (2,545)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 45,705	\$ 98,587	\$ 97,731	\$ (856)
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 5,606,285	\$ 5,770,365	\$ 9,374,439	\$ 3,604,074
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 714,776	\$ 714,734	\$ 655,103	\$ (59,631)
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 4,844,594	\$ 4,871,277	\$ 9,793,933	\$ 4,922,656
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 8,538,263	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 19,152,510	\$ 19,152,510
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 20,047	\$ 20,047
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 4,127,389	\$ 4,127,389
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 142,317	\$ 142,317
	<b>Fee for Service Sub-Total</b>	<b>\$ 28,039,036</b>	<b>\$ 20,688,867</b>	<b>\$ 52,711,923</b>	<b>\$ 32,023,056</b>
	<b>Tri-Bureau Service Activity</b>				
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ 13,627,198	\$ 13,627,198	\$ -	\$ (13,627,198)
	<b>Tri-Bureau Sub-Total</b>	<b>\$ 13,627,198</b>	<b>\$ 13,627,198</b>	<b>\$ -</b>	<b>\$ (13,627,198)</b>
	<b>Government-wide Mandated Service Activity</b>				
CFO	<a href="#">Interagency Council Funding</a>	\$ 112,422	\$ 112,422	\$ 112,224	\$ (198)
CHCO	<a href="#">USA Jobs</a>	\$ 124,941	\$ 137,952	\$ 135,589	\$ (2,363)
CIO - CHCO	<a href="#">e-Training</a>	\$ 606,853	\$ 1,116,887	\$ 1,191,609	\$ 74,722
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 436,409	\$ 436,409	\$ 428,935	\$ (7,474)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 33,232	\$ 48,758	\$ 45,294	\$ (3,464)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 24,918	\$ 24,918	\$ 24,492	\$ (426)
CIO	<a href="#">e-GovBenefits</a>	\$ 21,283	\$ 21,283	\$ 21,187	\$ (96)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 9,755	\$ 19,511	\$ 18,125	\$ (1,386)
CIO	<a href="#">Geospatial LOB</a>	\$ 8,468	\$ 8,468	\$ 7,866	\$ (602)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 14,341	\$ 14,341	\$ 13,322	\$ (1,019)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 224,804	\$ 226,400	\$ 160,053	\$ (66,347)
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 1,015,917	\$ 1,016,000	\$ 1,008,380	\$ (7,620)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 24,587	\$ 24,587	\$ 24,476	\$ (111)
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
	<b>Gov Mandated Sub-Total</b>	<b>\$ 2,657,930</b>	<b>\$ 3,207,936</b>	<b>\$ 3,191,551</b>	<b>\$ (16,385)</b>
	<b>DHS Crosscutting Activity</b>				
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 265,774	\$ 377,843	\$ 525,275	\$ 147,432
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 110,407	\$ 303,062	\$ 264,222	\$ (38,840)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 680,648	\$ 961,043	\$ 710,139	\$ (250,904)
	<b>DHS Crosscutting Sub-Total</b>	<b>\$ 1,056,829</b>	<b>\$ 1,641,948</b>	<b>\$ 1,499,636</b>	<b>\$ (142,312)</b>
	<b>WCF Management Activity</b>				
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 109,082	\$ 124,405	\$ 79,367	\$ (45,038)
	<b>WCF Mgt Sub-Total</b>	<b>\$ 109,082</b>	<b>\$ 124,405</b>	<b>\$ 79,367</b>	<b>\$ (45,038)</b>
	<b>DHS Working Capital Fund Total Activities</b>	<b>\$ 45,490,075</b>	<b>\$ 39,290,354</b>	<b>\$ 57,482,477</b>	<b>\$ 18,192,123</b>

Manager	DHS Working Capital Fund Activities	Transportation Security Administration FY11 Actuals	Transportation Security Administration FY12 Base	Transportation Security Administration FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 895,535	\$ 1,195,173	\$ 1,641,999	\$ 446,826
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 1,836,891	\$ 1,836,891	\$ 2,496,962	\$ 660,071
CFO	<a href="#">Internal Control Audit</a>	\$ 202,074	\$ 202,074	\$ 333,904	\$ 131,830
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 3,392	\$ 3,392	\$ 3,588	\$ 196
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ 47,776	\$ (3,806)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 16,496,054	\$ 16,496,054	\$ 15,691,817	\$ (804,237)
CHCO	<a href="#">HO Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 2,344,958	\$ 2,657,722	\$ 2,605,308	\$ (52,414)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 461,988	\$ 461,988	\$ 458,523	\$ (3,465)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 88,183	\$ 190,214	\$ 188,563	\$ (1,651)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 8,803,292	\$ 9,060,939	\$ 8,444,311	\$ (616,628)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 111,002	\$ 110,996	\$ 1,044,636	\$ 933,640
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 10,924,266	\$ 11,049,643	\$ 20,609,521	\$ 9,559,878
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 7,178,768	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 10,470,606	\$ 10,470,606
CAO	<a href="#">EP &amp; HP DSS</a>	\$ -	\$ -	\$ 15,912	\$ 15,912
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 5,699,637	\$ 5,699,637
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 380,937	\$ 380,937
<b>Fee for Service Sub-Total</b>		<b>\$ 49,373,509</b>	<b>\$ 43,316,668</b>	<b>\$ 70,134,000</b>	<b>\$ 26,817,332</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 106,065	\$ 106,065	\$ 80,323	\$ (25,742)
CHCO	<a href="#">USA Jobs</a>	\$ 329,215	\$ 363,497	\$ 362,928	\$ (569)
CIO - CHCO	<a href="#">e-Training</a>	\$ 1,977,502	\$ 3,639,509	\$ 3,651,564	\$ 12,055
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 1,149,922	\$ 1,149,922	\$ 1,148,120	\$ (1,802)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 47,452	\$ 69,622	\$ 32,419	\$ (37,203)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 5,301	\$ 5,301	\$ 5,261	\$ (40)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 65,658	\$ 65,658	\$ 65,556	\$ (102)
CIO	<a href="#">e-GovBenefits</a>	\$ 56,969	\$ 56,969	\$ 56,714	\$ (255)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 13,930	\$ 27,860	\$ 12,973	\$ (14,887)
CIO	<a href="#">Geospatial LOB</a>	\$ 12,091	\$ 12,091	\$ 5,630	\$ (6,461)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 20,477	\$ 20,477	\$ 9,535	\$ (10,942)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 147,493	\$ 148,540	\$ 135,028	\$ (13,512)
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 1,054,914	\$ 1,055,000	\$ 1,047,088	\$ (7,912)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 65,812	\$ 65,812	\$ 65,515	\$ (297)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 944	\$ 944	\$ 937	\$ (7)
<b>Gov Mandated Sub-Total</b>		<b>\$ 5,053,745</b>	<b>\$ 6,787,267</b>	<b>\$ 6,679,591</b>	<b>\$ (107,676)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 904,557	\$ 1,285,984	\$ 1,110,716	\$ (175,268)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 17,578	\$ 991,845	\$ 254,326	\$ (737,519)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 211,523	\$ 298,661	\$ 186,520	\$ (112,141)
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 1,133,658</b>	<b>\$ 2,576,490</b>	<b>\$ 1,551,562</b>	<b>\$ (1,024,928)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 105,553	\$ 120,380	\$ 108,305	\$ (12,075)
<b>WCF Mgt Sub-Total</b>		<b>\$ 105,553</b>	<b>\$ 120,380</b>	<b>\$ 108,305</b>	<b>\$ (12,075)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 55,666,465</b>	<b>\$ 52,800,805</b>	<b>\$ 78,473,458</b>	<b>\$ 25,672,653</b>

Manager	DHS Working Capital Fund Activities	Federal Emergency Management Agency FY11 Actuals	Federal Emergency Management Agency FY12 Base	Federal Emergency Management Agency FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 98,650	\$ 131,657	\$ 189,470	\$ 57,813
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 2,976,506	\$ 2,976,506	\$ 4,051,304	\$ 1,074,798
CFO	<a href="#">Internal Control Audit</a>	\$ 424,648	\$ 424,648	\$ 369,686	\$ (54,962)
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 6,330	\$ 6,330	\$ 5,659	\$ (671)
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ 47,776	\$ (3,806)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 2,064,938	\$ 2,064,938	\$ 3,132,821	\$ 1,067,883
CHCO	<a href="#">HO Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 399,198	\$ 452,442	\$ 441,534	\$ (10,908)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 125,474	\$ 125,474	\$ 124,533	\$ (941)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 44,091	\$ 95,107	\$ 94,282	\$ (825)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 3,877,338	\$ 3,990,817	\$ 2,283,517	\$ (1,707,300)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 53,147	\$ 53,144	\$ 180,622	\$ 127,478
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 3,828,218	\$ 4,075,773	\$ 10,114,517	\$ 6,038,744
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 5,632,132	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 13,075,865	\$ 13,075,865
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 66,562	\$ 66,562
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 2,073,656	\$ 2,073,656
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 46,674	\$ 46,674
<b>Fee for Service Sub-Total</b>		<b>\$ 19,557,776</b>	<b>\$ 14,448,418</b>	<b>\$ 36,298,478</b>	<b>\$ 21,850,060</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 147,398	\$ 147,398	\$ 127,588	\$ (19,810)
CHCO	<a href="#">USA Jobs</a>	\$ 42,392	\$ 46,806	\$ 44,467	\$ (2,339)
CIO - CHCO	<a href="#">e-Training</a>	\$ 403,731	\$ 743,049	\$ 390,797	\$ (352,252)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 148,071	\$ 148,071	\$ 140,672	\$ (7,399)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 44,050	\$ 64,631	\$ 51,495	\$ (13,136)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 310,232	\$ 310,232	\$ 307,906	\$ (2,326)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 8,454	\$ 8,454	\$ 8,032	\$ (422)
CIO	<a href="#">e-GovBenefits</a>	\$ 6,980	\$ 6,980	\$ 6,949	\$ (31)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 12,931	\$ 25,863	\$ 20,606	\$ (5,257)
CIO	<a href="#">Geospatial LOB</a>	\$ 11,224	\$ 11,224	\$ 8,943	\$ (2,281)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 19,009	\$ 19,009	\$ 15,146	\$ (3,863)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 206,136	\$ 207,600	\$ 156,797	\$ (50,803)
CIO - S & T	<a href="#">e-gov Disaster Management (DisasterHelp.gov)</a>	\$ 5,743,532	\$ 5,744,000	\$ 5,700,918	\$ (43,082)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 8,064	\$ 8,064	\$ 8,027	\$ (37)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 55,240	\$ 55,240	\$ 54,826	\$ (414)
<b>Gov Mandated Sub-Total</b>		<b>\$ 7,167,444</b>	<b>\$ 7,546,621</b>	<b>\$ 7,043,169</b>	<b>\$ (503,452)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 569,080	\$ 809,045	\$ 547,584	\$ (261,461)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ 170,744	\$ 170,744
CPO	<a href="#">CPO Shared Reporting</a>	\$ 574,597	\$ 811,304	\$ 216,947	\$ (594,357)
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 1,143,677</b>	<b>\$ 1,620,349</b>	<b>\$ 935,275</b>	<b>\$ (685,074)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 48,079	\$ 54,833	\$ 61,182	\$ 6,349
<b>WCF Mgt Sub-Total</b>		<b>\$ 48,079</b>	<b>\$ 54,833</b>	<b>\$ 61,182</b>	<b>\$ 6,349</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 27,916,977</b>	<b>\$ 23,670,221</b>	<b>\$ 44,338,104</b>	<b>\$ 20,667,883</b>

Manager	DHS Working Capital Fund Activities	National Protection & Program Directorate FY11 Actuals	National Protection & Program Directorate FY12 Base	National Protection & Program Directorate FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 17,737,306	\$ 17,961,835	\$ 20,592,409	\$ 2,630,574
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 14,738	\$ 19,669	\$ 40,182	\$ 20,513
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 5,788,918	\$ 5,788,918	\$ 2,479,572	\$ (3,309,346)
CFO	<a href="#">Financial Statement Audit</a>	\$ 96,085	\$ 96,085	\$ 130,984	\$ 34,899
CFO	<a href="#">Internal Control Audit</a>	\$ 4,520	\$ 4,520	\$ 14,598	\$ 10,078
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 1,687	\$ 1,687	\$ 1,748	\$ 61
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ 47,775	\$ (3,807)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 525,743	\$ 525,743	\$ 219,029	\$ (306,714)
CHCO	<a href="#">HO Human Capital Services</a>	\$ 109,267	\$ 156,497	\$ 69,508	\$ (86,989)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 101,715	\$ 115,281	\$ 51,201	\$ (64,080)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 43,594	\$ 43,594	\$ 43,267	\$ (327)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 26,885	\$ 57,992	\$ 47,141	\$ (10,851)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ 118,959	\$ 120,935	\$ 48,061	\$ (72,874)
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 20,259	\$ 20,259	\$ 8,051	\$ (12,208)
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 4,271,204	\$ 4,396,209	\$ 1,280,233	\$ (3,115,976)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 26,372,520	\$ 26,678,603	\$ 38,237,664	\$ 11,559,061
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ 45,369	\$ 45,369
CPO	<a href="#">Procurement Operations</a>	\$ 8,490,899	\$ 8,686,256	\$ 8,281,127	\$ (405,129)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 1,586,464	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 10,070,285	\$ 10,070,285
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,912	\$ 15,912
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 396,554	\$ 396,554
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 7,766	\$ 7,766
<b>Fee for Service Sub-Total</b>		<b>\$ 65,337,868</b>	<b>\$ 64,725,665</b>	<b>\$ 82,128,436</b>	<b>\$ 17,402,771</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 19,519	\$ 19,519	\$ 20,292	\$ 773
CHCO	<a href="#">USA Jobs</a>	\$ 15,178	\$ 16,758	\$ 7,398	\$ (9,360)
CIO - CHCO	<a href="#">e-Training</a>	\$ 289,247	\$ 532,347	\$ 74,439	\$ (457,908)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 53,013	\$ 53,013	\$ 23,405	\$ (29,608)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 11,927	\$ 17,500	\$ 8,190	\$ (9,310)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 976	\$ 976	\$ 968	\$ (8)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 3,027	\$ 3,027	\$ 1,336	\$ (1,691)
CIO	<a href="#">e-GovBenefits</a>	\$ 2,834	\$ 2,834	\$ 1,156	\$ (1,678)
CIO	Financial Management Line of Business	\$ 3,501	\$ 7,003	\$ 3,277	\$ (3,726)
CIO	<a href="#">Geospatial LOB</a>	\$ 3,039	\$ 3,039	\$ 1,422	\$ (1,617)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 5,147	\$ 5,147	\$ 2,409	\$ (2,738)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 3,274	\$ 3,274	\$ 1,336	\$ (1,938)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 174	\$ 174	\$ 172	\$ (2)
<b>Gov Mandated Sub-Total</b>		<b>\$ 410,856</b>	<b>\$ 664,611</b>	<b>\$ 145,800</b>	<b>\$ (518,811)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 385,743	\$ 548,400	\$ 552,316	\$ 3,916
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ 156,954	\$ 156,954
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 385,743</b>	<b>\$ 548,400</b>	<b>\$ 709,270</b>	<b>\$ 160,870</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 104,850	\$ 119,578	\$ 114,676	\$ (4,902)
<b>WCF Mgt Sub-Total</b>		<b>\$ 104,850</b>	<b>\$ 119,578</b>	<b>\$ 114,676</b>	<b>\$ (4,902)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 66,239,317</b>	<b>\$ 66,058,254</b>	<b>\$ 83,098,182</b>	<b>\$ 17,039,928</b>

Manager	DHS Working Capital Fund Activities	Office of Health Affairs FY11 Actuals	Office of Health Affairs FY12 Base	Office of Health Affairs FY13 Request	Delta FY13 -FY12
	<b>Fee for Service Activity</b>				
CAO	<a href="#">GSA RENT</a>	\$ 2,644,365	\$ 3,329,585	\$ 3,074,351	\$ (255,234)
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 1,769	\$ 2,362	\$ 3,420	\$ 1,058
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 750,000	\$ 750,000	\$ 760,476	\$ 10,476
CFO	<a href="#">Financial Statement Audit</a>	\$ 107,780	\$ 107,780	\$ 146,925	\$ 39,145
CFO	<a href="#">Internal Control Audit</a>	\$ 7,994	\$ 7,994	\$ 15,934	\$ 7,940
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 1,687	\$ 1,687	\$ 1,748	\$ 61
CFO	<a href="#">TIER</a>	\$ -	\$ -	\$ 47,775	\$ 47,775
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 22,762	\$ 22,762	\$ 18,377	\$ (4,385)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ 241,082	\$ 345,289	\$ 337,826	\$ (7,463)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 3,559	\$ 4,034	\$ 3,960	\$ (74)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 1,908	\$ 1,908	\$ 1,894	\$ (14)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 2,151	\$ 4,639	\$ 4,599	\$ (40)
CHCO	<a href="#">(HQ ELDAP) HQ Executive Leadership Development</a>	\$ 4,202	\$ 4,272	\$ 3,812	\$ (460)
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 716	\$ 716	\$ 639	\$ (77)
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 2,113,286	\$ 2,142,329	\$ 3,045,902	\$ 903,573
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ 30,124	\$ 30,124
CPO	<a href="#">Procurement Operations</a>	\$ 1,720,439	\$ 1,760,022	\$ 2,590,655	\$ 830,633
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 115,743	\$ 115,743
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,086	\$ 15,086
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 21,272	\$ 21,272
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 616	\$ 616
	<b>Fee for Service Sub-Total</b>	<b>\$ 7,623,700</b>	<b>\$ 8,485,379</b>	<b>\$ 10,241,134</b>	<b>\$ 1,755,755</b>
	<b>Tri-Bureau Service Activity</b>				
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ -	\$ -	\$ -	\$ -
	<b>Tri-Bureau Sub-Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
	<b>Government-wide Mandated Service Activity</b>				
CFO	<a href="#">Interagency Council Funding</a>	\$ 2,879	\$ 2,879	\$ 4,359	\$ 1,480
CHCO	<a href="#">USA Jobs</a>	\$ 536	\$ 592	\$ 587	\$ (5)
CIO - CHCO	<a href="#">e-Training</a>	\$ 9,387	\$ 17,277	\$ 5,904	\$ (11,373)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 1,873	\$ 1,873	\$ 1,856	\$ (17)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 840	\$ 1,233	\$ 1,759	\$ 526
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 801	\$ 801	\$ 795	\$ (6)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 107	\$ 107	\$ 106	\$ (1)
CIO	<a href="#">e-GovBenefits</a>	\$ 92	\$ 92	\$ 92	\$ -
CIO	<a href="#">Financial Management Line of Business</a>	\$ 247	\$ 493	\$ 704	\$ 211
CIO	<a href="#">Geospatial LOB</a>	\$ 214	\$ 214	\$ 306	\$ 92
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 363	\$ 363	\$ 517	\$ 154
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 106	\$ 106	\$ 106	\$ -
CIO	<a href="#">Grants Management Line of Business</a>	\$ 143	\$ 143	\$ 142	\$ (1)
	<b>Gov Mandated Sub-Total</b>	<b>\$ 17,588</b>	<b>\$ 26,173</b>	<b>\$ 17,233</b>	<b>\$ (8,940)</b>
	<b>DHS Crosscutting Activity</b>				
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 61,520	\$ 87,461	\$ 146,698	\$ 59,237
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ 19,544	\$ 19,544
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
	<b>DHS Crosscutting Sub-Total</b>	<b>\$ 61,520</b>	<b>\$ 87,461</b>	<b>\$ 166,242</b>	<b>\$ 78,781</b>
	<b>WCF Management Activity</b>				
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 14,144	\$ 16,131	\$ 14,405	\$ (1,726)
	<b>WCF Mgt Sub-Total</b>	<b>\$ 14,144</b>	<b>\$ 16,131</b>	<b>\$ 14,405</b>	<b>\$ (1,726)</b>
	<b>DHS Working Capital Fund Total Activities</b>	<b>\$ 7,716,952</b>	<b>\$ 8,615,144</b>	<b>\$ 10,439,014</b>	<b>\$ 1,823,870</b>



Manager	DHS Working Capital Fund Activities	Operations Coordination & Intel & Analysis FY11 Actuals	Operations Coordination & Intel & Analysis FY12 Base	Operations Coordination & Intel & Analysis FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 8,756,439	\$ 8,854,129	\$ 10,751,240	\$ 1,897,111
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 104,230	\$ 139,104	\$ 160,533	\$ 21,429
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 1,349,000	\$ 1,349,000	\$ -	\$ (1,349,000)
CFO	<a href="#">Financial Statement Audit</a>	\$ 16,523	\$ 16,523	\$ 22,523	\$ 6,000
CFO	<a href="#">Internal Control Audit</a>	\$ 2,587	\$ 2,587	\$ 4,850	\$ 2,263
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 9,283	\$ 9,285	\$ 9,907	\$ 622
CFO	<a href="#">TIER</a>	\$ 27,097	\$ 51,565	\$ 47,775	\$ (3,790)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 184,807	\$ 184,807	\$ 152,922	\$ (31,885)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ 1,957,355	\$ 2,803,418	\$ 2,742,818	\$ (60,600)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 28,477	\$ 32,275	\$ 31,690	\$ (585)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 13,183	\$ 13,183	\$ 13,084	\$ (99)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 17,744	\$ 38,275	\$ 37,943	\$ (332)
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ 34,117	\$ 34,684	\$ 31,723	\$ (2,961)
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 5,810	\$ 5,810	\$ 5,314	\$ (496)
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 797,967	\$ 821,321	\$ 762,914	\$ (58,407)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 26,476,859	\$ 26,724,131	\$ 27,750,689	\$ 1,026,558
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ 713,806	\$ 713,806
CPO	<a href="#">Procurement Operations</a>	\$ 3,148,077	\$ 3,220,507	\$ 4,744,379	\$ 1,523,872
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 502,563	\$ 502,563
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 14,879	\$ 14,879
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 173,354	\$ 173,354
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 5,126	\$ 5,126
<b>Fee for Service Sub-Total</b>		<b>\$ 42,929,555</b>	<b>\$ 44,300,604</b>	<b>\$ 48,680,032</b>	<b>\$ 4,379,428</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 6,928	\$ 6,928	\$ 6,826	\$ (102)
CHCO	<a href="#">USA Jobs</a>	\$ 4,353	\$ 4,806	\$ 4,883	\$ 77
CIO - CHCO	<a href="#">e-Training</a>	\$ 78,156	\$ 143,843	\$ 49,134	\$ (94,709)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRD)</a>	\$ 15,204	\$ 15,204	\$ 15,449	\$ 245
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 2,176	\$ 3,192	\$ 2,755	\$ (437)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 868	\$ 868	\$ 882	\$ 14
CIO	<a href="#">e-GovBenefits</a>	\$ 767	\$ 767	\$ 763	\$ (4)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 639	\$ 1,277	\$ 1,103	\$ (174)
CIO	<a href="#">Geospatial LOB</a>	\$ 554	\$ 554	\$ 478	\$ (76)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 939	\$ 939	\$ 810	\$ (129)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 624,949	\$ 625,000	\$ 620,313	\$ (4,687)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 886	\$ 886	\$ 882	\$ (4)
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 736,419</b>	<b>\$ 804,264</b>	<b>\$ 704,279</b>	<b>\$ (99,985)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 199,949	\$ 284,262	\$ 209,569	\$ (74,693)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ 12,367	\$ 12,367
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 199,949</b>	<b>\$ 284,262</b>	<b>\$ 221,936</b>	<b>\$ (62,326)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 67,592	\$ 77,087	\$ 68,544	\$ (8,543)
<b>WCF Mgt Sub-Total</b>		<b>\$ 67,592</b>	<b>\$ 77,087</b>	<b>\$ 68,544</b>	<b>\$ (8,543)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 43,933,515</b>	<b>\$ 45,466,217</b>	<b>\$ 49,674,791</b>	<b>\$ 4,208,574</b>

Manager	DHS Working Capital Fund Activities	Office of the Inspector General FY11 Actuals	Office of the Inspector General FY12 Base	Office of the Inspector General FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 22,839	\$ 30,481	\$ 28,122	\$ (2,359)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Internal Control Audit</a>	\$ 3,997	\$ 3,997	\$ -	\$ (3,997)
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">TIER</a>	\$ 27,097	\$ 51,565	\$ 47,775	\$ (3,790)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 95,128	\$ 95,128	\$ 97,150	\$ 2,022
CHCO	<a href="#">HQ Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 20,667	\$ 23,423	\$ 23,126	\$ (297)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 20,415	\$ 20,415	\$ 20,262	\$ (153)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 6,990	\$ 15,078	\$ 14,947	\$ (131)
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 265,989	\$ 273,774	\$ 15,676	\$ (258,098)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 50,751	\$ 50,901	\$ 24,024	\$ (26,877)
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 266,124	\$ 267,572	\$ 1,383,965	\$ 1,116,393
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">EP &amp; HP DSS</a>	\$ -	\$ -	\$ 14,879	\$ 14,879
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 78,104	\$ 78,104
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 4,634	\$ 4,634
<b>Fee for Service Sub-Total</b>		<b>\$ 779,997</b>	<b>\$ 832,334</b>	<b>\$ 1,752,664</b>	<b>\$ 920,330</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 2,355	\$ 2,355	\$ 2,336	\$ (19)
CHCO	<a href="#">USA Jobs</a>	\$ 4,034	\$ 4,454	\$ 4,415	\$ (39)
CIO - CHCO	<a href="#">e-Training</a>	\$ 70,630	\$ 129,991	\$ 44,424	\$ (85,567)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 14,089	\$ 14,089	\$ 13,968	\$ (121)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 778	\$ 1,142	\$ 943	\$ (199)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 804	\$ 804	\$ 798	\$ (6)
CIO	<a href="#">e-GovBenefits</a>	\$ 693	\$ 693	\$ 690	\$ (3)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 229	\$ 457	\$ 377	\$ (80)
CIO	<a href="#">Geospatial LOB</a>	\$ 198	\$ 198	\$ 164	\$ (34)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 336	\$ 336	\$ 277	\$ (59)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ 7,784	\$ 7,784
CIO - S & T	<a href="#">e-gov_Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 801	\$ 801	\$ 797	\$ (4)
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 94,947</b>	<b>\$ 155,320</b>	<b>\$ 76,974</b>	<b>\$ (78,346)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 8,612	\$ 12,243	\$ -	\$ (12,243)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ 37,586	\$ 37,586
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 8,612</b>	<b>\$ 12,243</b>	<b>\$ 37,586</b>	<b>\$ 25,343</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 1,181	\$ 1,347	\$ 2,580	\$ 1,233
<b>WCF Mgt Sub-Total</b>		<b>\$ 1,181</b>	<b>\$ 1,347</b>	<b>\$ 2,580</b>	<b>\$ 1,233</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 884,737</b>	<b>\$ 1,001,244</b>	<b>\$ 1,869,804</b>	<b>\$ 868,560</b>



Manager	DHS Working Capital Fund Activities	Science & Technology Directorate FY11 Actuals	Science & Technology Directorate FY12 Base	Science & Technology Directorate FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 9,208,508	\$ 9,387,649	\$ 9,736,824	\$ 349,175
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 4,933	\$ 6,583	\$ 12,026	\$ 5,443
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 3,207,149	\$ 3,207,149	\$ 3,251,946	\$ 44,797
CFO	<a href="#">Financial Statement Audit</a>	\$ 30,716	\$ 30,716	\$ 41,872	\$ 11,156
CFO	<a href="#">Internal Control Audit</a>	\$ 3,130	\$ 3,130	\$ -	\$ (3,130)
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 3,392	\$ 3,392	\$ 3,588	\$ 196
CFO	<a href="#">TIER</a>	\$ 27,097	\$ 51,565	\$ 47,775	\$ (3,790)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 108,561	\$ 108,561	\$ 107,068	\$ (1,493)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ 1,170,969	\$ 1,677,118	\$ 1,640,869	\$ (36,249)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 18,260	\$ 20,696	\$ 20,293	\$ (403)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 16,465	\$ 16,465	\$ 16,342	\$ (123)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 11,292	\$ 24,357	\$ 24,145	\$ (212)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ 20,410	\$ 20,749	\$ 18,335	\$ (2,414)
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 3,476	\$ 3,476	\$ 3,071	\$ (405)
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 721,239	\$ 742,348	\$ 762,914	\$ 20,566
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 11,717,525	\$ 11,882,866	\$ 15,589,347	\$ 3,706,481
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 405,228	\$ 413,000	\$ 536,225	\$ 123,225
CPO	<a href="#">Procurement Operations</a>	\$ 10,501,412	\$ 10,743,026	\$ 8,566,328	\$ (2,176,698)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 1,306,559	\$ 1,306,559
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,912	\$ 15,912
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 100,091	\$ 100,091
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 2,962	\$ 2,962
<b>Fee for Service Sub-Total</b>		<b>\$ 37,179,762</b>	<b>\$ 38,342,846</b>	<b>\$ 41,804,492</b>	<b>\$ 3,461,646</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 20,811	\$ 20,811	\$ 19,795	\$ (1,016)
CHCO	<a href="#">USA Jobs</a>	\$ 2,604	\$ 2,875	\$ 2,822	\$ (53)
CIO - CHCO	<a href="#">e-Training</a>	\$ 45,140	\$ 83,079	\$ 28,398	\$ (54,681)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHR)</a>	\$ 9,096	\$ 9,096	\$ 8,929	\$ (167)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 5,896	\$ 8,651	\$ 7,989	\$ (662)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 7,711	\$ 7,711	\$ 7,653	\$ (58)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 519	\$ 519	\$ 510	\$ (9)
CIO	<a href="#">e-GovBenefits</a>	\$ 443	\$ 443	\$ 441	\$ (2)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 1,731	\$ 3,462	\$ 3,197	\$ (265)
CIO	<a href="#">Geospatial LOB</a>	\$ 1,502	\$ 1,502	\$ 1,387	\$ (115)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 2,544	\$ 2,544	\$ 2,350	\$ (194)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov Disaster Management (DisasterHelp.gov)</a>	\$ 194,984	\$ 195,000	\$ 193,538	\$ (1,462)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 512	\$ 512	\$ 510	\$ (2)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 1,373	\$ 1,373	\$ 1,363	\$ (10)
<b>Gov Mandated Sub-Total</b>		<b>\$ 294,866</b>	<b>\$ 337,578</b>	<b>\$ 278,882</b>	<b>\$ (58,696)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 141,499	\$ 201,165	\$ 180,500	\$ (20,665)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 50,185	\$ 137,757	\$ 117,662	\$ (20,095)
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 191,684</b>	<b>\$ 338,922</b>	<b>\$ 298,162</b>	<b>\$ (40,760)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 67,692	\$ 77,201	\$ 58,560	\$ (18,641)
<b>WCF Mgt Sub-Total</b>		<b>\$ 67,692</b>	<b>\$ 77,201</b>	<b>\$ 58,560</b>	<b>\$ (18,641)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 37,734,004</b>	<b>\$ 39,096,547</b>	<b>\$ 42,440,096</b>	<b>\$ 3,343,549</b>

Manager	DHS Working Capital Fund Activities	Domestic Nuclear Detection Office FY11 Actuals	Domestic Nuclear Detection Office FY12 Base	Domestic Nuclear Detection Office FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 3,467,480	\$ 3,467,480	\$ 4,989,849	\$ 1,522,369
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 1,572	\$ 2,098	\$ 3,870	\$ 1,772
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Internal Control Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 1,687	\$ 1,687	\$ 1,748	\$ 61
CFO	<a href="#">TIER</a>	\$ -	\$ -	\$ 47,775	\$ 47,775
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 25,398	\$ 25,398	\$ 25,068	\$ (330)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ 373,103	\$ 534,376	\$ 522,826	\$ (11,550)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 5,345	\$ 6,058	\$ 5,950	\$ (108)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 4,261	\$ 4,261	\$ 4,229	\$ (32)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 3,764	\$ 8,119	\$ 8,048	\$ (71)
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ 6,503	\$ 6,611	\$ 5,900	\$ (711)
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 1,107	\$ 1,107	\$ 988	\$ (119)
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 163,679	\$ 168,470	\$ 135,862	\$ (32,608)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 3,490,227	\$ 3,538,377	\$ 4,587,923	\$ 1,049,546
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Procurement Operations</a>	\$ 4,451,811	\$ 4,554,237	\$ 4,184,554	\$ (369,683)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 1,307,005	\$ 1,307,005
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 14,931	\$ 14,931
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 29,369	\$ 29,369
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 953	\$ 953
<b>Fee for Service Sub-Total</b>		<b>\$ 11,995,937</b>	<b>\$ 12,318,279</b>	<b>\$ 15,876,847</b>	<b>\$ 3,558,568</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 7,571	\$ 7,571	\$ 6,736	\$ (835)
CHCO	<a href="#">USA Jobs</a>	\$ 830	\$ 916	\$ 908	\$ (8)
CIO - CHCO	<a href="#">e-Training</a>	\$ 14,528	\$ 26,739	\$ 9,138	\$ (17,601)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 2,898	\$ 2,898	\$ 2,873	\$ (25)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 2,229	\$ 3,271	\$ 2,719	\$ (552)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 428	\$ 428	\$ 424	\$ (4)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 165	\$ 165	\$ 164	\$ (1)
CIO	<a href="#">e-GovBenefits</a>	\$ 143	\$ 143	\$ 142	\$ (1)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 655	\$ 1,309	\$ 1,088	\$ (221)
CIO	<a href="#">Geospatial LOB</a>	\$ 568	\$ 568	\$ 472	\$ (96)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 962	\$ 962	\$ 800	\$ (162)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 165	\$ 165	\$ 164	\$ (1)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 76	\$ 76	\$ 76	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 31,218</b>	<b>\$ 45,211</b>	<b>\$ 25,705</b>	<b>\$ (19,506)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 193,183	\$ 274,643	\$ 157,515	\$ (117,128)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ 46,974	\$ 46,974
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 193,183</b>	<b>\$ 274,643</b>	<b>\$ 204,489</b>	<b>\$ (70,154)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 25,544	\$ 29,132	\$ 22,255	\$ (6,877)
<b>WCF Mgt Sub-Total</b>		<b>\$ 25,544</b>	<b>\$ 29,132</b>	<b>\$ 22,255</b>	<b>\$ (6,877)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 12,245,882</b>	<b>\$ 12,667,265</b>	<b>\$ 16,129,296</b>	<b>\$ 3,462,031</b>

Manager	DHS Working Capital Fund Activities	U.S. Coast Guard FY11 Actuals	U.S. Coast Guard FY12 Base	U.S. Coast Guard FY13 Request	Delta FY13 -FY12
	<b>Fee for Service Activity</b>				
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 955,723	\$ 1,275,499	\$ 748,155	\$ (527,344)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 2,547,985	\$ 2,547,985	\$ 5,413,382	\$ 2,865,397
CFO	<a href="#">Internal Control Audit</a>	\$ 136,059	\$ 136,059	\$ 508,819	\$ 372,760
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 3,392	\$ 3,392	\$ 3,588	\$ 196
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ 47,776	\$ (3,806)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 2,253,239	\$ 2,253,239	\$ 2,142,293	\$ (110,946)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 328,761	\$ 372,610	\$ 365,371	\$ (7,239)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 124,329	\$ 124,329	\$ 123,397	\$ (932)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 11,292	\$ 24,357	\$ 24,145	\$ (212)
CHCO	<a href="#">(HO ELDAP) HO Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 5,396,563	\$ 5,554,505	\$ 5,972,678	\$ 418,173
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 5,061	\$ 5,061	\$ 26,700,064	\$ 26,695,003
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 12,269,459	\$ 12,982,246	\$ 20,943,715	\$ 7,961,469
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 76,900	\$ 76,900
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 8,811	\$ 8,811
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 49,680	\$ 49,680
	<b>Fee for Service Sub-Total</b>	<b>\$ 24,058,969</b>	<b>\$ 25,330,864</b>	<b>\$ 63,128,773</b>	<b>\$ 37,797,909</b>
	<b>Tri-Bureau Service Activity</b>				
CHCO	<a href="#">Tri-Bureau Human Resources Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ -	\$ -	\$ -	\$ -
	<b>Tri-Bureau Sub-Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
	<b>Government-wide Mandated Service Activity</b>				
CFO	<a href="#">Interagency Council Funding</a>	\$ 176,621	\$ 176,621	\$ 179,924	\$ 3,303
CHCO	<a href="#">USA Jobs</a>	\$ 46,904	\$ 51,788	\$ 47,332	\$ (4,456)
CIO - CHCO	<a href="#">e-Training</a>	\$ 211,513	\$ 389,280	\$ 415,970	\$ 26,690
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 163,832	\$ 163,832	\$ 149,734	\$ (14,098)
CIO	<a href="#">Business Gateway</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 4,260	\$ 6,250	\$ 72,619	\$ 66,369
CIO	<a href="#">e-Travel</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Case Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 6,742	\$ 6,742	\$ 6,691	\$ (51)
CIO	<a href="#">e-Authentication</a>	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 9,354	\$ 9,354	\$ 8,550	\$ (804)
CIO	<a href="#">e-GovBenefits</a>	\$ 7,430	\$ 7,430	\$ 7,396	\$ (34)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 1,250	\$ 2,501	\$ 29,059	\$ 26,558
CIO	<a href="#">Geospatial LOB</a>	\$ 1,085	\$ 1,085	\$ 12,612	\$ 11,527
CIO	<a href="#">IT Infrastructure LOB</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 1,838	\$ 1,838	\$ 21,359	\$ 19,521
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 512,534	\$ 516,174	\$ 484,563	\$ (31,611)
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 1,797,854	\$ 1,798,000	\$ 1,784,515	\$ (13,485)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 8,583	\$ 8,583	\$ 8,544	\$ (39)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 1,200	\$ 1,200	\$ 1,191	\$ (9)
	<b>Gov Mandated Sub-Total</b>	<b>\$ 2,951,000</b>	<b>\$ 3,140,678</b>	<b>\$ 3,230,059</b>	<b>\$ 89,381</b>
	<b>DHS Crosscutting Activity</b>				
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 843,038	\$ 1,198,523	\$ 1,428,450	\$ 229,927
CIO	<a href="#">Ready Campaign (Ready.gov)</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 100,370	\$ 275,513	\$ 254,958	\$ (20,555)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 735,029	\$ 1,037,826	\$ 672,016	\$ (365,810)
	<b>DHS Crosscutting Sub-Total</b>	<b>\$ 1,678,437</b>	<b>\$ 2,511,862</b>	<b>\$ 2,355,424</b>	<b>\$ (156,438)</b>
	<b>WCF Management Activity</b>				
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 47,992	\$ 54,733	\$ 95,038	\$ 40,305
	<b>WCF Mgt Sub-Total</b>	<b>\$ 47,992</b>	<b>\$ 54,733</b>	<b>\$ 95,038</b>	<b>\$ 40,305</b>
	<b>DHS Working Capital Fund Total Activities</b>	<b>\$ 28,736,398</b>	<b>\$ 31,038,137</b>	<b>\$ 68,809,294</b>	<b>\$ 37,771,157</b>

Manager	DHS Working Capital Fund Activities	U.S. Citizenship & Immigration Services FY11 Actuals	U.S. Citizenship & Immigration Services FY12 Base	U.S. Citizenship & Immigration Services FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 845,524	\$ 1,128,429	\$ 1,268,908	\$ 140,479
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 9,484,251	\$ 9,484,251	\$ 9,616,727	\$ 132,476
CFO	<a href="#">Financial Statement Audit</a>	\$ 686,185	\$ 686,185	\$ 930,227	\$ 244,042
CFO	<a href="#">Internal Control Audit</a>	\$ 75,001	\$ 75,001	\$ 228,288	\$ 153,287
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 3,392	\$ 3,392	\$ 3,588	\$ 196
CFO	<a href="#">TIER</a>	\$ 27,097	\$ 51,565	\$ 47,775	\$ (3,790)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 1,440,076	\$ 1,440,076	\$ 1,422,496	\$ (17,580)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 411,729	\$ 466,644	\$ 521,711	\$ 55,067
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 194,433	\$ 194,433	\$ 192,975	\$ (1,458)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 32,262	\$ 69,591	\$ 68,987	\$ (604)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 3,069,131	\$ 3,158,956	\$ 6,228,725	\$ 3,069,769
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 136,664	\$ 136,656	\$ 186,299	\$ 49,643
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 4,278,346	\$ 4,360,402	\$ 11,906,676	\$ 7,546,274
CPO	<a href="#">Procurement Operations</a>	\$ 851,871	\$ 871,471	\$ 300,000	\$ (571,471)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 6,072,502	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 16,108,281	\$ 16,108,281
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,086	\$ 15,086
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 1,805,767	\$ 1,805,767
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 81,153	\$ 81,153
<b>Fee for Service Sub-Total</b>		<b>\$ 27,608,464</b>	<b>\$ 22,127,052</b>	<b>\$ 50,933,669</b>	<b>\$ 28,806,617</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ 13,153,478	\$ 13,153,478	\$ -	\$ (13,153,478)
<b>Tri-Bureau Sub-Total</b>		<b>\$ 13,153,478</b>	<b>\$ 13,153,478</b>	<b>\$ -</b>	<b>\$(13,153,478)</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 4,632	\$ 4,632	\$ 3,085	\$ (1,547)
CHCO	<a href="#">USA Jobs</a>	\$ 69,153	\$ 76,354	\$ 77,317	\$ 963
CIO - CHCO	<a href="#">e-Training</a>	\$ 26,366	\$ 48,525	\$ 679,490	\$ 630,965
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 241,546	\$ 241,546	\$ 244,591	\$ 3,045
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 2,216	\$ 3,252	\$ 1,245	\$ (2,007)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 566	\$ 566	\$ 562	\$ (4)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 13,792	\$ 13,792	\$ 13,966	\$ 174
CIO	<a href="#">e-GovBenefits</a>	\$ 1,144	\$ 1,144	\$ 1,139	\$ (5)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 651	\$ 1,301	\$ 498	\$ (803)
CIO	<a href="#">Geospatial LOB</a>	\$ 565	\$ 565	\$ 216	\$ (349)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 956	\$ 956	\$ 366	\$ (590)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 50,062	\$ 50,417	\$ 64,674	\$ 14,257
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 507,959	\$ 508,000	\$ 504,190	\$ (3,810)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 1,321	\$ 1,321	\$ 1,315	\$ (6)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 101	\$ 101	\$ 100	\$ (1)
<b>Gov Mandated Sub-Total</b>		<b>\$ 921,030</b>	<b>\$ 952,472</b>	<b>\$ 1,592,753</b>	<b>\$ 640,281</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 572,223	\$ 813,514	\$ 840,305	\$ 26,791
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 39,354	\$ 165,304	\$ 99,162	\$ (66,142)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 128,160	\$ 180,956	\$ 239,895	\$ 58,939
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 739,737</b>	<b>\$ 1,159,774</b>	<b>\$ 1,179,362</b>	<b>\$ 19,588</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 69,816	\$ 79,623	\$ 74,257	\$ (5,366)
<b>WCF Mgt Sub-Total</b>		<b>\$ 69,816</b>	<b>\$ 79,623</b>	<b>\$ 74,257</b>	<b>\$ (5,366)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 42,492,525</b>	<b>\$ 37,472,399</b>	<b>\$ 53,780,041</b>	<b>\$ 16,307,642</b>

Manager	DHS Working Capital Fund Activities	U.S. Secret Service FY11 Actuals	U.S. Secret Service FY12 Base	U.S. Secret Service FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 337,509	\$ 450,436	\$ 391,679	\$ (58,757)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Statement Audit</a>	\$ 106,478	\$ 106,478	\$ 143,516	\$ 37,038
CFO	<a href="#">Internal Control Audit</a>	\$ 7,326	\$ 7,326	\$ 36,262	\$ 28,936
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 3,392	\$ 3,391	\$ 3,588	\$ 197
CFO	<a href="#">TIER</a>	\$ 27,097	\$ 51,565	\$ 47,775	\$ (3,790)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 1,034,186	\$ 1,034,186	\$ 988,090	\$ (46,096)
CHCO	<a href="#">HQ Human Capital Services</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 304,251	\$ 344,831	\$ 338,367	\$ (6,464)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 147,992	\$ 147,992	\$ 146,882	\$ (1,110)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 27,423	\$ 59,152	\$ 58,639	\$ (513)
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 946,321	\$ 974,017	\$ 1,666,915	\$ 692,898
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 27,486	\$ 27,484	\$ 99,242	\$ 71,758
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 934,774	\$ 1,103,038	\$ 2,291,674	\$ 1,188,636
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 6,352,624	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 2,190,712	\$ 2,190,712
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,396	\$ 15,396
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 764,852	\$ 764,852
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 51,734	\$ 51,734
<b>Fee for Service Sub-Total</b>		<b>\$ 10,256,859</b>	<b>\$ 4,309,896</b>	<b>\$ 9,235,323</b>	<b>\$ 4,925,427</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 30,657	\$ 30,657	\$ 33,436	\$ 2,779
CHCO	<a href="#">USA Jobs</a>	\$ 45,027	\$ 49,716	\$ 49,288	\$ (428)
CIO - CHCO	<a href="#">e-Training</a>	\$ 298,802	\$ 549,933	\$ 433,162	\$ (116,771)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHR)</a>	\$ 157,278	\$ 157,278	\$ 155,922	\$ (1,356)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 9,070	\$ 13,307	\$ 13,495	\$ 188
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 361	\$ 361	\$ 360	\$ (1)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 8,980	\$ 8,980	\$ 8,903	\$ (77)
CIO	<a href="#">e-GovBenefits</a>	\$ 7,737	\$ 7,737	\$ 7,702	\$ (35)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 2,662	\$ 5,325	\$ 5,400	\$ 75
CIO	<a href="#">Geospatial LOB</a>	\$ 2,311	\$ 2,311	\$ 2,344	\$ 33
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 3,914	\$ 3,914	\$ 3,969	\$ 55
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 33,778	\$ 34,018	\$ 33,685	\$ (333)
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 273,978	\$ 274,000	\$ 271,945	\$ (2,055)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 8,938	\$ 8,938	\$ 8,897	\$ (41)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 65	\$ 65	\$ 64	\$ (1)
<b>Gov Mandated Sub-Total</b>		<b>\$ 883,558</b>	<b>\$ 1,146,540</b>	<b>\$ 1,028,572</b>	<b>\$ (117,968)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 76,897	\$ 109,322	\$ 209,569	\$ 100,247
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 25,093	\$ 68,870	\$ 12,001	\$ (56,869)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 102,578	\$ 144,835	\$ 46,703	\$ (98,132)
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 204,567</b>	<b>\$ 323,027</b>	<b>\$ 268,273</b>	<b>\$ (54,754)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 10,904	\$ 12,436	\$ 14,574	\$ 2,138
<b>WCF Mgt Sub-Total</b>		<b>\$ 10,904</b>	<b>\$ 12,436</b>	<b>\$ 14,574</b>	<b>\$ 2,138</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 11,355,888</b>	<b>\$ 5,791,899</b>	<b>\$ 10,546,741</b>	<b>\$ 4,754,842</b>



Manager	DHS Working Capital Fund Activities	NPPD - U.S. Visit FY11 Actuals	NPPD - U.S. Visit FY12 Base	NPPD - U.S. Visit FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 4,993,674	\$ 4,993,674	\$ 5,244,197	\$ 250,523
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 2,406	\$ 3,211	\$ 7,978	\$ 4,767
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 1,852,527	\$ 1,852,527	\$ 1,878,403	\$ 25,876
CFO	<a href="#">Financial Statement Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Internal Control Audit</a>	\$ 1,808	\$ 1,808	\$ 5,659	\$ 3,851
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ 1,687	\$ 1,687	\$ 1,748	\$ 61
CFO	<a href="#">TIER</a>	\$ 27,097	\$ 51,565	\$ -	\$ (51,565)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 43,996	\$ 43,996	\$ 55,430	\$ 11,434
CHCO	<a href="#">HO Human Capital Services</a>	\$ 18,731	\$ 26,828	\$ 26,523	\$ (305)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 8,663	\$ 9,819	\$ 12,158	\$ 2,339
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ -	\$ -	\$ 4,599	\$ 4,599
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ 9,955	\$ 10,120	\$ 12,163	\$ 2,043
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 1,695	\$ 1,695	\$ 2,037	\$ 342
CIO	<a href="#">CIS/DHS Infrastructure Transf Pgm</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 5,061	\$ 5,061	\$ -	\$ (5,061)
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ 2,342,604	\$ 2,342,604
CPO	<a href="#">Procurement Operations</a>	\$ 5,008,630	\$ 5,123,867	\$ 2,757,230	\$ (2,366,637)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 59,227,646	\$ 59,227,646
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 15,189	\$ 15,189
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 82,470	\$ 82,470
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 1,965	\$ 1,965
<b>Fee for Service Sub-Total</b>		<b>\$ 11,975,930</b>	<b>\$ 12,125,858</b>	<b>\$ 71,677,999</b>	<b>\$ 59,552,141</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ 7,263,460	\$ 7,263,460	\$ -	\$ (7,263,460)
<b>Tri-Bureau Sub-Total</b>		<b>\$ 7,263,460</b>	<b>\$ 7,263,460</b>	<b>\$ -</b>	<b>\$ (7,263,460)</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 7,728	\$ 7,728	\$ 6,128	\$ (1,600)
CHCO	<a href="#">USA Jobs</a>	\$ 1,270	\$ 1,402	\$ 1,872	\$ 470
CIO - CHCO	<a href="#">e-Training</a>	\$ 154,525	\$ 284,397	\$ 18,838	\$ (265,559)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHR)</a>	\$ 4,436	\$ 4,436	\$ 5,923	\$ 1,487
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 8,030	\$ 11,782	\$ 2,473	\$ (9,309)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 253	\$ 253	\$ 338	\$ 85
CIO	<a href="#">e-GovBenefits</a>	\$ 1,490	\$ 1,490	\$ 293	\$ (1,197)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 2,357	\$ 4,715	\$ 990	\$ (3,725)
CIO	<a href="#">Geospatial LOB</a>	\$ 2,046	\$ 2,046	\$ 430	\$ (1,616)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 3,465	\$ 3,465	\$ 727	\$ (2,738)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 1,722	\$ 1,722	\$ 338	\$ (1,384)
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 187,322</b>	<b>\$ 323,436</b>	<b>\$ 38,350</b>	<b>\$ (285,086)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 12,306	\$ 17,496	\$ 202,809	\$ 185,313
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 25,093	\$ 68,870	\$ 34,490	\$ (34,380)
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 37,399</b>	<b>\$ 86,366</b>	<b>\$ 237,299</b>	<b>\$ 150,933</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 26,219	\$ 29,902	\$ 99,423	\$ 69,521
<b>WCF Mgt Sub-Total</b>		<b>\$ 26,219</b>	<b>\$ 29,902</b>	<b>\$ 99,423</b>	<b>\$ 69,521</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 19,490,329</b>	<b>\$ 19,829,022</b>	<b>\$ 72,053,071</b>	<b>\$ 52,224,049</b>

Manager	DHS Working Capital Fund Activities	Federal Protective Service FY11 (N/A)	Federal Protective Service FY12 Base (N/A)	Federal Protective Service FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ -	\$ -	\$ 2,238,742	\$ 2,238,742
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ -	\$ -	\$ 38,698	\$ 38,698
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ -	\$ -	\$ 3,390,206	\$ 3,390,206
CFO	<a href="#">Financial Statement Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Internal Control Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Operations (OFO)</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Bankcard Program</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">TJER</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ -	\$ -	\$ 268,875	\$ 268,875
CHCO	<a href="#">HQ Human Capital Services</a>	\$ -	\$ -	\$ 84,953	\$ 84,953
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ -	\$ -	\$ 61,937	\$ 61,937
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ -	\$ -	\$ 8,048	\$ 8,048
CHCO	<a href="#">(HQ ELDP) HQ Executive Leadership Development</a>	\$ -	\$ -	\$ 58,998	\$ 58,998
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ -	\$ -	\$ 9,883	\$ 9,883
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ -	\$ -	\$ 12,080,000	\$ 12,080,000
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Procurement Operations</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ -	\$ -
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 1,318,409	\$ 1,318,409
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 9,533	\$ 9,533
<b>Fee for Service Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ 19,568,282</b>	<b>\$ 19,568,282</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ -	\$ -	\$ 26,089	\$ 26,089
CHCO	<a href="#">USA Jobs</a>	\$ -	\$ -	\$ 9,082	\$ 9,082
CIO - CHCO	<a href="#">e-Training</a>	\$ -	\$ -	\$ 91,379	\$ 91,379
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ -	\$ -	\$ 28,731	\$ 28,731
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ -	\$ -	\$ 10,530	\$ 10,530
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ -	\$ -	\$ 1,641	\$ 1,641
CIO	<a href="#">e-GovBenefits</a>	\$ -	\$ -	\$ 1,419	\$ 1,419
CIO	<a href="#">Financial Management Line of Business</a>	\$ -	\$ -	\$ 4,214	\$ 4,214
CIO	<a href="#">Geospatial LOB</a>	\$ -	\$ -	\$ 1,829	\$ 1,829
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ -	\$ -	\$ 3,097	\$ 3,097
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ -	\$ -	\$ 1,639	\$ 1,639
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ 179,650</b>	<b>\$ 179,650</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ -	\$ -	\$ -	\$ -
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ -	\$ -	\$ 27,288	\$ 27,288
<b>WCF Mgt Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ 27,288</b>	<b>\$ 27,288</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ 19,775,220</b>	<b>\$ 19,775,220</b>

Manager	DHS Working Capital Fund Activities	MGT - Chief Financial Officer FY11 Actuals	MGT - Chief Financial Officer FY12 Base	MGT - Chief Financial Officer FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 2,794,258	\$ 2,935,545	\$ 2,746,481	\$ (189,064)
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 2,091	\$ 2,791	\$ 7,025	\$ 4,234
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 233,632	\$ 233,632	\$ 178,421	\$ (55,211)
CFO	<a href="#">Financial Statement Audit</a>	\$ 32,501	\$ 32,501	\$ 44,304	\$ 11,803
CFO	<a href="#">Internal Control Audit</a>	\$ 1,578	\$ 1,578	\$ 9,077	\$ 7,499
CFO	<a href="#">Financial Operations (OFO)</a>	\$ 230,030	\$ 323,660	\$ 366,253	\$ 42,593
CFO	<a href="#">Bankcard Program</a>	\$ -	\$ -	\$ 3,588	\$ 3,588
CFO	<a href="#">TIER</a>	\$ 27,106	\$ 51,582	\$ -	\$ (51,582)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 46,879	\$ 46,879	\$ 51,630	\$ 4,751
CHCO	<a href="#">HO Human Capital Services</a>	\$ 496,514	\$ 711,131	\$ 695,740	\$ (15,391)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 8,063	\$ 9,138	\$ 11,010	\$ 1,872
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 8,221	\$ 8,221	\$ 8,159	\$ (62)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 5,377	\$ 11,598	\$ 11,498	\$ (100)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ 8,654	\$ 8,798	\$ 10,710	\$ 1,912
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 1,474	\$ 1,474	\$ 1,794	\$ 320
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 2,866,243	\$ 2,907,675	\$ 3,814,667	\$ 906,992
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ 448,033	\$ 448,033
CPO	<a href="#">Procurement Operations</a>	\$ 974,147	\$ 996,560	\$ 551,853	\$ (444,707)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 286,272	\$ 286,272
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 14,931	\$ 14,931
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 28,813	\$ 28,813
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 1,731	\$ 1,731
<b>Fee for Service Sub-Total</b>		<b>\$ 7,736,768</b>	<b>\$ 8,282,763</b>	<b>\$ 9,291,991</b>	<b>\$ 1,009,228</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 1,103	\$ 1,103	\$ 1,103	\$ 0
CHCO	<a href="#">USA Jobs</a>	\$ 1,104	\$ 1,219	\$ 1,649	\$ 430
CIO - CHCO	<a href="#">e-Training</a>	\$ 19,334	\$ 35,583	\$ 16,589	\$ (18,994)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 3,857	\$ 3,857	\$ 5,216	\$ 1,359
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 399	\$ 585	\$ 445	\$ (140)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 220	\$ 220	\$ 298	\$ 78
CIO	<a href="#">e-GovBenefits</a>	\$ 190	\$ 190	\$ 258	\$ 68
CIO	<a href="#">Financial Management Line of Business</a>	\$ 117	\$ 234	\$ 178	\$ (56)
CIO	<a href="#">Geospatial LOB</a>	\$ 102	\$ 102	\$ 77	\$ (25)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 172	\$ 172	\$ 131	\$ (41)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 219	\$ 219	\$ 298	\$ 79
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 26,817</b>	<b>\$ 43,484</b>	<b>\$ 26,242</b>	<b>\$ (17,242)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 61,520	\$ 87,461	\$ 67,603	\$ (19,858)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 61,520</b>	<b>\$ 87,461</b>	<b>\$ 67,603</b>	<b>\$ (19,858)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 16,384	\$ 18,686	\$ 12,969	\$ (5,717)
<b>WCF Mgt Sub-Total</b>		<b>\$ 16,384</b>	<b>\$ 18,686</b>	<b>\$ 12,969</b>	<b>\$ (5,717)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 7,841,490</b>	<b>\$ 8,432,394</b>	<b>\$ 9,398,805</b>	<b>\$ 966,411</b>



Manager	DHS Working Capital Fund Activities	MGT - Chief Information Officer FY11 Actuals	MGT - Chief Information Officer FY12 Base	MGT - Chief Information Officer FY13 Request	Delta FY13 -FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 6,833,483	\$ 7,277,645	\$ 7,729,187	\$ 451,542
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 2,455	\$ 3,276	\$ 8,543	\$ 5,267
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 1,457,822	\$ 1,457,822	\$ 832,426	\$ (625,396)
CFO	<a href="#">Financial Statement Audit</a>	\$ 32,501	\$ 32,501	\$ 44,304	\$ 11,803
CFO	<a href="#">Internal Control Audit</a>	\$ 1,578	\$ 1,578	\$ 9,077	\$ 7,499
CFO	<a href="#">Financial Operations (OFO)</a>	\$ 288,535	\$ 405,978	\$ 445,400	\$ 39,422
CFO	<a href="#">Bankcard Program</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">TIER</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 55,009	\$ 55,009	\$ 62,788	\$ 7,779
CHCO	<a href="#">HQ Human Capital Services</a>	\$ 582,614	\$ 834,448	\$ 833,997	\$ (451)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 9,151	\$ 10,372	\$ 12,593	\$ 2,221
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 6,898	\$ 6,898	\$ 6,846	\$ (52)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 5,377	\$ 11,598	\$ 11,498	\$ (100)
CHCO	<a href="#">(HO ELDLP) HQ Executive Leadership Development</a>	\$ 10,155	\$ 10,324	\$ 13,025	\$ 2,701
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 1,729	\$ 1,729	\$ 2,182	\$ 453
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 4,833,883	\$ 4,975,357	\$ 2,732,905	\$ (2,242,452)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 21,448,757	\$ 21,709,690	\$ 33,944,839	\$ 12,235,149
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 3,311,657	\$ 3,329,628	\$ 4,518,518	\$ 1,188,890
CPO	<a href="#">Procurement Operations</a>	\$ 8,092,093	\$ 8,278,274	\$ 10,033,001	\$ 1,754,727
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 53,084,467	\$ 70,000,000	\$ 64,797,000	\$ (5,203,000)
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 22,811,198	\$ 22,811,198
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 14,931	\$ 14,931
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 158,590	\$ 158,590
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 2,105	\$ 2,105
<b>Fee for Service Sub-Total</b>		<b>\$ 100,058,164</b>	<b>\$ 118,402,127</b>	<b>\$ 149,024,954</b>	<b>\$ 30,622,827</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	Data Center Services from DOJ	\$ -	\$ -	\$ -	\$ -
<b>Tri-Bureau Sub-Total</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 6,880	\$ 6,879	\$ 5,148	\$ (1,731)
CHCO	<a href="#">USA Jobs</a>	\$ 1,296	\$ 1,431	\$ 2,005	\$ 574
CIO - CHCO	<a href="#">e-Training</a>	\$ 10,256	\$ 18,876	\$ 20,174	\$ 1,298
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 4,525	\$ 4,525	\$ 6,343	\$ 1,818
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 2,060	\$ 3,023	\$ 2,078	\$ (945)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 258	\$ 258	\$ 362	\$ 104
CIO	<a href="#">e-GovBenefits</a>	\$ 103	\$ 103	\$ 313	\$ 210
CIO	Financial Management Line of Business	\$ 605	\$ 1,210	\$ 831	\$ (379)
CIO	<a href="#">Geospatial LOB</a>	\$ 525	\$ 525	\$ 361	\$ (164)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 889	\$ 889	\$ 611	\$ (278)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 119	\$ 119	\$ 362	\$ 243
CIO	Grants Management Line of Business	\$ -	\$ -	\$ -	\$ -
<b>Gov Mandated Sub-Total</b>		<b>\$ 27,516</b>	<b>\$ 37,838</b>	<b>\$ 38,588</b>	<b>\$ 750</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 79,368	\$ 112,835	\$ 270,412	\$ 157,577
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ 76,028	\$ 76,028
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 79,368</b>	<b>\$ 112,835</b>	<b>\$ 346,440</b>	<b>\$ 233,605</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 117,962	\$ 134,531	\$ 206,360	\$ 71,829
<b>WCF Mgt Sub-Total</b>		<b>\$ 117,962</b>	<b>\$ 134,531</b>	<b>\$ 206,360</b>	<b>\$ 71,829</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 100,283,010</b>	<b>\$ 118,687,331</b>	<b>\$ 149,616,341</b>	<b>\$ 30,929,010</b>

Manager	DHS Working Capital Fund Activities	MGT - USM FY11 Actuals	MGT - USM FY12 Base	MGT - USM FY13 Request	Delta FY13 -FY12
	<b>Fee for Service Activity</b>				
CAO	<a href="#">GSA RENT</a>	\$ 9,518,087	\$ 10,796,738	\$ 15,562,074	\$ 4,765,336
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 65,869	\$ 87,908	\$ 54,031	\$ (33,877)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 2,671,818	\$ 2,671,818	\$ 3,557,464	\$ 885,646
CFO	<a href="#">Financial Statement Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Internal Control Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Operations (OFO)</a>	\$ 1,656,752	\$ 2,331,103	\$ 2,340,292	\$ 9,189
CFO	<a href="#">Bankcard Program</a>	\$ 3,392	\$ 3,392	\$ -	\$ (3,392)
CFO	<a href="#">TIER</a>	\$ -	\$ -	\$ 47,775	\$ 47,775
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 313,522	\$ 313,522	\$ 335,816	\$ 22,294
CHCO	<a href="#">HO Human Capital Services</a>	\$ 3,320,615	\$ 4,755,945	\$ 4,894,350	\$ 138,405
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 54,141	\$ 61,361	\$ 68,089	\$ 6,728
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 26,721	\$ 26,721	\$ 26,665	\$ (56)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 17,740	\$ 38,275	\$ 37,943	\$ (332)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ 57,878	\$ 58,839	\$ 69,663	\$ 10,824
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 9,856	\$ 9,855	\$ 11,671	\$ 1,816
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 13,929,111	\$ 14,136,603	\$ 19,040,756	\$ 4,904,153
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ 119,859	\$ 119,859
CPO	<a href="#">Procurement Operations</a>	\$ 3,299,791	\$ 3,375,713	\$ 4,936,932	\$ 1,561,219
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 1,244,830	\$ 1,244,830
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 59,724	\$ 59,724
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 155,415	\$ 155,415
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 11,256	\$ 11,256
	<b>Fee for Service Sub-Total</b>	<b>\$ 34,945,292</b>	<b>\$ 38,667,793</b>	<b>\$ 52,574,605</b>	<b>\$ 13,906,812</b>
	<b>Tri-Bureau Service Activity</b>				
CHCO	<a href="#">Tri-Bureau Human Resources Shared Services</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ -	\$ -	\$ -	\$ -
	<b>Tri-Bureau Sub-Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
	<b>Government-wide Mandated Service Activity</b>				
CFO	<a href="#">Interagency Council Funding</a>	\$ 12,603	\$ 12,604	\$ 21,999	\$ 9,395
CHCO	<a href="#">USA Jobs</a>	\$ 7,384	\$ 8,154	\$ 10,724	\$ 2,570
CIO - CHCO	<a href="#">e-Training</a>	\$ 104,785	\$ 192,850	\$ 107,894	\$ (84,956)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 25,794	\$ 25,794	\$ 33,924	\$ 8,130
CIO	<a href="#">Business Gateway</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 4,729	\$ 6,938	\$ 8,878	\$ 1,940
CIO	<a href="#">e-Travel</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Case Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Authentication</a>	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 1,481	\$ 1,481	\$ 1,937	\$ 456
CIO	<a href="#">e-GovBenefits</a>	\$ 1,037	\$ 1,037	\$ 1,682	\$ 645
CIO	<a href="#">Financial Management Line of Business</a>	\$ 1,390	\$ 2,778	\$ 3,553	\$ 775
CIO	<a href="#">Geospatial LOB</a>	\$ 1,207	\$ 1,207	\$ 1,541	\$ 334
CIO	<a href="#">IT Infrastructure LOB</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 2,041	\$ 2,041	\$ 2,611	\$ 570
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 239,137	\$ 240,835	\$ 343,244	\$ 102,409
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 38,997	\$ 39,000	\$ 38,708	\$ (292)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 1,195	\$ 1,195	\$ 1,945	\$ 750
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
	<b>Gov Mandated Sub-Total</b>	<b>\$ 441,780</b>	<b>\$ 535,914</b>	<b>\$ 578,639</b>	<b>\$ 42,725</b>
	<b>DHS Crosscutting Activity</b>				
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 61,520	\$ 87,461	\$ 67,603	\$ (19,858)
CIO	<a href="#">Ready Campaign (Ready.gov)</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">CPO Shared Reporting</a>	\$ 831,153	\$ 1,173,549	\$ 2,638,567	\$ 1,465,018
	<b>DHS Crosscutting Sub-Total</b>	<b>\$ 892,673</b>	<b>\$ 1,261,010</b>	<b>\$ 2,706,170</b>	<b>\$ 1,445,160</b>
	<b>WCF Management Activity</b>				
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 116,218	\$ 132,542	\$ 76,895	\$ (55,647)
	<b>WCF Mgt Sub-Total</b>	<b>\$ 116,218</b>	<b>\$ 132,542</b>	<b>\$ 76,895</b>	<b>\$ (55,647)</b>
	<b>DHS Working Capital Fund Total Activities</b>	<b>\$ 36,395,963</b>	<b>\$ 40,597,259</b>	<b>\$ 55,936,310</b>	<b>\$ 15,339,051</b>

Manager	DHS Working Capital Fund Activities	OSEM FY11 Actuals	OSEM FY12 Base	OSEM FY13 Request	Delta FY13 -FY12
	<b>Fee for Service Activity</b>				
CAO	<a href="#">GSA RENT</a>	\$ 9,432,386	\$ 10,078,157	\$ 11,142,940	\$ 1,064,783
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 325,731	\$ 434,720	\$ 325,865	\$ (108,855)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 598,261	\$ 598,261	\$ 448,772	\$ (149,489)
CFO	<a href="#">Financial Statement Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Internal Control Audit</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">Financial Operations (OFO)</a>	\$ 857,628	\$ 1,206,710	\$ 1,070,823	\$ (135,887)
CFO	<a href="#">Bankcard Program</a>	\$ -	\$ -	\$ -	\$ -
CFO	<a href="#">TIER</a>	\$ -	\$ -	\$ -	\$ -
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 163,400	\$ 163,400	\$ 150,954	\$ (12,446)
CHCO	<a href="#">HO Human Capital Services</a>	\$ 1,730,622	\$ 2,478,683	\$ 2,364,748	\$ (113,935)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 27,019	\$ 30,624	\$ 31,656	\$ 1,032
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 20,161	\$ 20,161	\$ 19,866	\$ (295)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 33,341	\$ 71,911	\$ 70,138	\$ (1,773)
CHCO	<a href="#">(HO ELDP) HQ Executive Leadership Development</a>	\$ 30,167	\$ 30,668	\$ 31,314	\$ 646
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 5,139	\$ 5,139	\$ 5,246	\$ 107
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 9,255,597	\$ 9,373,257	\$ 10,764,059	\$ 1,390,802
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Procurement Operations</a>	\$ 275,190	\$ 281,521	\$ 582,905	\$ 301,384
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ -	\$ -
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ -	\$ -
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 95,646	\$ 95,646
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 5,060	\$ 5,060
	<b>Fee for Service Sub-Total</b>	<b>\$ 22,754,642</b>	<b>\$ 24,773,212</b>	<b>\$ 27,109,993</b>	<b>\$ 2,336,781</b>
	<b>Tri-Bureau Service Activity</b>				
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ 206,464	\$ 206,464	\$ -	\$ (206,464)
	<b>Tri-Bureau Sub-Total</b>	<b>\$ 206,464</b>	<b>\$ 206,464</b>	<b>\$ -</b>	<b>\$ (206,464)</b>
	<b>Government-wide Mandated Service Activity</b>				
CFO	<a href="#">Interagency Council Funding</a>	\$ 2,823	\$ 2,823	\$ 2,837	\$ 14
CHCO	<a href="#">USA Jobs</a>	\$ 3,850	\$ 4,251	\$ 4,820	\$ 569
CIO - CHCO	<a href="#">e-Training</a>	\$ 75,942	\$ 139,769	\$ 48,501	\$ (91,268)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRD)</a>	\$ 13,442	\$ 13,442	\$ 15,250	\$ 1,808
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 979	\$ 1,435	\$ 1,145	\$ (290)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ -	\$ -	\$ -	\$ -
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 767	\$ 767	\$ 871	\$ 104
CIO	<a href="#">e-Gov Benefits</a>	\$ 743	\$ 743	\$ 754	\$ 11
CIO	<a href="#">Financial Management Line of Business</a>	\$ 286	\$ 573	\$ 458	\$ (115)
CIO	<a href="#">Geospatial LOB</a>	\$ 249	\$ 249	\$ 200	\$ (49)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 422	\$ 422	\$ 335	\$ (87)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ -	\$ -	\$ -	\$ -
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 861	\$ 861	\$ 871	\$ 10
CIO	<a href="#">Grants Management Line of Business</a>	\$ -	\$ -	\$ -	\$ -
	<b>Gov Mandated Sub-Total</b>	<b>\$ 100,364</b>	<b>\$ 165,335</b>	<b>\$ 76,043</b>	<b>\$ (89,292)</b>
	<b>DHS Crosscutting Activity</b>				
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ -	\$ -	\$ -	\$ -
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">CPO Shared Reporting</a>	\$ -	\$ -	\$ -	\$ -
	<b>DHS Crosscutting Sub-Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
	<b>WCF Management Activity</b>				
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 61,301	\$ 69,912	\$ 37,566	\$ (32,346)
	<b>WCF Mgt Sub-Total</b>	<b>\$ 61,301</b>	<b>\$ 69,912</b>	<b>\$ 37,566</b>	<b>\$ (32,346)</b>
	<b>DHS Working Capital Fund Total Activities</b>	<b>\$ 23,122,771</b>	<b>\$ 25,214,923</b>	<b>\$ 27,223,602</b>	<b>\$ 2,008,679</b>

Manager	DHS Working Capital Fund Activities	Total FY11 Actuals	Total FY12 Base	Total FY13 Request	Total Delta FY13 - FY12
<b>Fee for Service Activity</b>					
CAO	<a href="#">GSA RENT</a>	\$ 75,385,986	\$ 79,082,437	\$ 93,808,295	\$ 14,725,858
CAO	<a href="#">FedLink - Consolidated Subscriptions (Library of Congress)</a>	\$ 8,394,397	\$ 11,203,087	\$ 11,119,064	\$ (84,023)
CFO	<a href="#">(F&amp;ASS) Finance &amp; Acctg Shared Services</a>	\$ 27,393,378	\$ 27,393,378	\$ 26,394,413	\$ (998,965)
CFO	<a href="#">Financial Statement Audit</a>	\$ 13,642,537	\$ 13,642,537	\$ 19,779,275	\$ 6,136,738
CFO	<a href="#">Internal Control Audit</a>	\$ 1,289,138	\$ 1,289,138	\$ 2,233,251	\$ 944,113
CFO	<a href="#">Financial Operations (OFO)</a>	\$ 3,032,944	\$ 4,267,451	\$ 4,222,769	\$ (44,682)
CFO	<a href="#">Bankcard Program</a>	\$ 55,808	\$ 55,808	\$ 55,389	\$ (419)
CFO	<a href="#">TIER</a>	\$ 379,430	\$ 722,046	\$ 716,631	\$ (5,415)
CHCO	<a href="#">NFC Payroll Services &amp; Reporting</a>	\$ 36,288,863	\$ 36,288,864	\$ 36,016,698	\$ (272,166)
CHCO	<a href="#">HO Human Capital Services</a>	\$ 10,000,872	\$ 14,323,733	\$ 14,214,158	\$ (109,575)
CHCO	<a href="#">(HCBS) Payroll Service Ops</a>	\$ 6,889,775	\$ 7,808,715	\$ 7,750,150	\$ (58,565)
CHCO	<a href="#">Flexible Spending Account (FSA)</a>	\$ 2,140,607	\$ 2,140,607	\$ 2,124,552	\$ (16,055)
CHCO	<a href="#">(SES CDP, Sec Conf) DHS EXEC LEAD</a>	\$ 451,132	\$ 973,109	\$ 965,811	\$ (7,298)
CHCO	<a href="#">(HO ELDP) HO Executive Leadership Development</a>	\$ 301,000	\$ 306,000	\$ 303,705	\$ (2,295)
CHCO	<a href="#">Employee Assistance Program (EAP)</a>	\$ 51,260	\$ 51,260	\$ 50,876	\$ (384)
CIO	<a href="#">CIO/DHS Infrastructure Transf Pgm</a>	\$ 51,152,192	\$ 52,649,270	\$ 52,254,400	\$ (394,870)
CIO	<a href="#">NCR Infrastructure Operations</a>	\$ 119,891,753	\$ 121,315,184	\$ 198,577,792	\$ 77,262,608
CIO	<a href="#">Enterprise Licenses Agreements (ELA)</a>	\$ 52,510,797	\$ 54,561,948	\$ 102,463,338	\$ 47,901,390
CPO	<a href="#">Procurement Operations</a>	\$ 46,814,360	\$ 47,891,454	\$ 47,528,964	\$ (362,490)
CIO	<a href="#">Data Center Consolidation - Migration</a>	\$ 121,311,370	\$ 70,000,000	\$ 64,797,000	\$ (5,203,000)
CIO	<a href="#">Data Center Consolidation - O&amp;M</a>	\$ -	\$ -	\$ 180,777,962	\$ 180,777,962
CAO	<a href="#">EP&amp;HP DSS</a>	\$ -	\$ -	\$ 467,458	\$ 467,458
CSO	<a href="#">HSPD-12</a>	\$ -	\$ -	\$ 23,000,000	\$ 23,000,000
CHCO	<a href="#">PAS</a>	\$ -	\$ -	\$ 1,240,763	\$ 1,240,763
<b>Fee for Service Sub-Total</b>		<b>\$ 577,377,600</b>	<b>\$ 545,966,026</b>	<b>\$ 890,862,715</b>	<b>\$ 344,896,689</b>
<b>Tri-Bureau Service Activity</b>					
CHCO	Tri-Bureau Human Resources Shared Services	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Data Center Services from DOJ</a>	\$ 34,250,600	\$ 34,250,600	\$ -	\$ (34,250,600)
<b>Tri-Bureau Sub-Total</b>		<b>\$ 34,250,600</b>	<b>\$ 34,250,600</b>	<b>\$ -</b>	<b>\$ (34,250,600)</b>
<b>Government-wide Mandated Service Activity</b>					
CFO	<a href="#">Interagency Council Funding</a>	\$ 884,523	\$ 884,523	\$ 877,889	\$ (6,634)
CHCO	<a href="#">USA Jobs</a>	\$ 1,078,709	\$ 1,191,038	\$ 1,182,105	\$ (8,933)
CIO - CHCO	<a href="#">e-Training</a>	\$ 5,976,775	\$ 11,000,000	\$ 10,915,962	\$ (84,038)
CIO - CHCO	<a href="#">Enterprise HR Integration (EHRI)</a>	\$ 3,767,844	\$ 3,767,844	\$ 3,739,585	\$ (28,259)
CIO	Business Gateway	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Rulemaking</a>	\$ 243,317	\$ 357,000	\$ 354,322	\$ (2,678)
CIO	e-Travel	\$ -	\$ -	\$ -	\$ -
CIO	Case Management Line of Business	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">e-Grants.gov</a>	\$ 333,118	\$ 333,118	\$ 330,620	\$ (2,498)
CIO	e-Authentication	\$ -	\$ -	\$ -	\$ -
CIO - CHCO	<a href="#">Human Resources Line of Business</a>	\$ 215,140	\$ 215,140	\$ 213,526	\$ (1,614)
CIO	<a href="#">e-GovBenefits</a>	\$ 164,447	\$ 164,447	\$ 163,214	\$ (1,233)
CIO	<a href="#">Financial Management Line of Business</a>	\$ 71,428	\$ 142,857	\$ 141,786	\$ (1,071)
CIO	<a href="#">Geospatial LOB</a>	\$ 62,000	\$ 62,000	\$ 61,535	\$ (465)
CIO	IT Infrastructure LOB	\$ -	\$ -	\$ -	\$ -
CIO	<a href="#">Budget Formulation &amp; Execution LOB</a>	\$ 105,000	\$ 105,000	\$ 104,213	\$ (787)
CIO - CPO	<a href="#">e-Gov Integrated Acquisition Environment</a>	\$ 1,668,346	\$ 1,680,193	\$ 1,667,592	\$ (12,601)
CIO - S & T	<a href="#">e-gov. Disaster Management (DisasterHelp.gov)</a>	\$ 12,269,001	\$ 12,270,000	\$ 12,177,975	\$ (92,025)
CIO	<a href="#">IAE Loans &amp; Grants</a>	\$ 189,973	\$ 189,973	\$ 188,548	\$ (1,425)
CIO	<a href="#">Grants Management Line of Business</a>	\$ 59,316	\$ 59,316	\$ 58,871	\$ (445)
<b>Gov Mandated Sub-Total</b>		<b>\$ 27,088,937</b>	<b>\$ 32,422,449</b>	<b>\$ 32,177,743</b>	<b>\$ (244,706)</b>
<b>DHS Crosscutting Activity</b>					
CIO	<a href="#">Capital Planning and Investment Control (CPIC)</a>	\$ 5,413,949	\$ 7,696,860	\$ 7,639,133	\$ (57,727)
CIO	Ready Campaign (Ready.gov)	\$ -	\$ -	\$ -	\$ -
CPO	<a href="#">Strategic Sourcing</a>	\$ 639,078	\$ 2,755,118	\$ 2,105,351	\$ (649,767)
CPO	<a href="#">CPO Shared Reporting</a>	\$ 3,730,535	\$ 5,267,340	\$ 5,227,835	\$ (39,505)
<b>DHS Crosscutting Sub-Total</b>		<b>\$ 9,783,562</b>	<b>\$ 15,719,318</b>	<b>\$ 14,972,319</b>	<b>\$ (746,999)</b>
<b>WCF Management Activity</b>					
CFO	<a href="#">Working Capital Fund Operations</a>	\$ 1,153,776	\$ 1,315,846	\$ 1,305,977	\$ (9,869)
<b>WCF Mgt Sub-Total</b>		<b>\$ 1,153,776</b>	<b>\$ 1,315,846</b>	<b>\$ 1,305,977</b>	<b>\$ (9,869)</b>
<b>DHS Working Capital Fund Total Activities</b>		<b>\$ 649,654,476</b>	<b>\$ 629,674,239</b>	<b>\$ 939,318,753</b>	<b>\$ 309,644,514</b>

DHS Working Capital Fund Components	FY2011 Actuals	FY2012 Base	FY2013 Request	Delta FY13 -FY12
U.S. Customs & Border Protection	\$ 79,940,093	\$ 51,399,079	\$ 85,489,384	\$ 34,090,305
Federal Law Enforcement Training Center	\$ 2,168,085	\$ 2,545,745	\$ 2,744,722	\$ 198,977
U.S. Immigration & Customs Enforcement	\$ 45,490,075	\$ 39,290,354	\$ 57,482,477	\$ 18,192,123
Transportation Security Administration	\$ 55,666,465	\$ 52,800,805	\$ 78,473,458	\$ 25,672,653
Federal Emergency Management Agency	\$ 27,916,977	\$ 23,670,221	\$ 44,338,104	\$ 20,667,883
National Protection and Program Directorate	\$ 66,239,317	\$ 66,058,254	\$ 83,098,182	\$ 17,039,928
Office of Health Affairs	\$ 7,716,952	\$ 8,615,144	\$ 10,439,014	\$ 1,823,870
Operations Coordination and Intel & Analysis	\$ 43,933,515	\$ 45,466,217	\$ 49,674,791	\$ 4,208,574
Office of the Inspector General	\$ 884,737	\$ 1,001,244	\$ 1,869,804	\$ 868,560
Science & Technology Directorate	\$ 37,734,004	\$ 39,096,547	\$ 42,440,096	\$ 3,343,549
Domestic Nuclear Detection Office	\$ 12,245,882	\$ 12,667,265	\$ 16,129,296	\$ 3,462,031
U.S. Coast Guard	\$ 28,736,398	\$ 31,038,137	\$ 68,809,294	\$ 37,771,157
U.S. Citizenship & Immigration Services	\$ 42,492,525	\$ 37,472,399	\$ 53,780,041	\$ 16,307,642
U.S. Secret Service	\$ 11,355,888	\$ 5,791,899	\$ 10,546,741	\$ 4,754,842
NPPD - U.S. Visit	\$ 19,490,329	\$ 19,829,022	\$ 72,053,071	\$ 52,224,049
<i>Federal Protective Service</i>	\$ -	\$ -	\$ 19,775,220	\$ 19,775,220
MGT - Office of the Under Secretary for Management	\$ 292,502	\$ 319,708	\$ 425,692	\$ 105,984
MGT - Office of Security	\$ 8,558,295	\$ 9,743,870	\$ 12,421,931	\$ 2,678,061
MGT - Chief Administrative Office	\$ 3,219,680	\$ 3,495,635	\$ 6,577,610	\$ 3,081,975
MGT - Chief Human Capital Officer	\$ 5,468,138	\$ 5,820,926	\$ 7,683,805	\$ 1,862,879
MGT - Chief Procurement Officer	\$ 5,918,142	\$ 6,627,824	\$ 10,891,072	\$ 4,263,248
MGT - Chief Financial Officer	\$ 7,841,490	\$ 8,432,394	\$ 9,398,805	\$ 966,411
MGT - Chief Information Officer	\$ 100,283,010	\$ 118,687,331	\$ 149,616,341	\$ 30,929,010
OSEM - Office of the Secretary	\$ 586,935	\$ 615,045	\$ 642,793	\$ 27,748
OSEM - Office of the Deputy Secretary	\$ 220,113	\$ 233,979	\$ 251,308	\$ 17,329
OSEM - Chief of Staff	\$ 347,506	\$ 379,776	\$ 416,104	\$ 36,328
OSEM - Civil Rights & Liberties	\$ 3,990,975	\$ 4,425,829	\$ 5,125,899	\$ 700,070
OSEM - Executive Secretariat	\$ 1,513,411	\$ 1,669,955	\$ 1,717,170	\$ 47,215
OSEM - General Counsel	\$ 3,851,497	\$ 4,490,360	\$ 3,746,321	\$ (744,039)
OSEM - Immigration Ombudsman	\$ 948,207	\$ 1,023,994	\$ 1,370,450	\$ 346,456
OSEM - Legislative Affairs	\$ 1,010,607	\$ 1,078,803	\$ 1,379,741	\$ 300,938
OSEM - Public Affairs	\$ 1,603,477	\$ 1,683,197	\$ 2,270,438	\$ 587,241
OSEM - Privacy	\$ 1,563,199	\$ 1,654,144	\$ 1,537,799	\$ (116,345)
OSEM - Office of Policy	\$ 6,338,103	\$ 7,114,427	\$ 8,237,792	\$ 1,123,365
<b>OSEM - Counternarcotics Enforcement</b>	\$ 718,852	\$ 374,899	\$ -	\$ (374,899)
OSEM- Intergovernmental Affairs	\$ 429,888	\$ 470,515	\$ 527,786	\$ 57,271
WCF- CAO Rent	\$ 430,141	\$ 441,131	\$ 529,524	\$ 88,393
WCF- CAO Fedlink	\$ 135,178	\$ 144,129	\$ 175,425	\$ 31,296
WCF - Office of Financial Operations	\$ 221,291	\$ 241,241	\$ 302,942	\$ 61,701
WCF - HQ Human Capital	\$ 1,942,997	\$ 2,084,825	\$ 2,196,634	\$ 111,809
WCF - Payroll Service Operations	\$ 760,631	\$ 820,718	\$ 855,299	\$ 34,581
WCF-DHS Exec Leadership (SES CDP)	\$ 70,046	\$ 77,927	\$ 84,096	\$ 6,169
WCF - CIO Infrastructure Transformation Program	\$ 410,504	\$ 439,933	\$ 431,736	\$ (8,197)
WCF - NCR Infrastructure Operations	\$ 786,285	\$ 848,098	\$ 1,100,004	\$ 251,906
WCF - Enterprise License Agreements	\$ 235,470	\$ 239,586	\$ 403,075	\$ 163,489
<b>WCF - IT Services from DOJ</b>	\$ 219,055	\$ 223,402	\$ -	\$ (223,402)
WCF - E Training	\$ 208,301	\$ 266,128	\$ 140,657	\$ (125,471)
WCF - Procurement Operations	\$ 7,300,540	\$ 8,520,051	\$ 9,567,482	\$ 1,047,431
WCF - Strategic Sourcing	\$ 28,928	\$ 35,457	\$ 33,799	\$ (1,658)
WCF - Working Capital Fund Operations	\$ 189,837	\$ 206,670	\$ 210,560	\$ 3,890
<i>WCF - Enterprise Data Center</i>	\$ -	\$ -	\$ 1,258,712	\$ 1,258,712
<i>WCF - HSPD-12</i>	\$ -	\$ -	\$ 625,401	\$ 625,401
<i>WCF - EP&amp;H PDSS</i>	\$ -	\$ -	\$ 20,854	\$ 20,854
<b>DHS Working Capital Fund Components - Total</b>	<b>\$ 649,654,476</b>	<b>\$ 629,674,239</b>	<b>\$ 939,318,753</b>	<b>\$ 309,644,514</b>





# Department of Homeland Security

*Analysis and Operations*

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Fiscal Year 2013  
One-Time Exhibits  
Congressional Justification

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**i. Summary of FY 2013 Budget Estimates by Appropriation**

**Department of Homeland Security**  
**Analysis and Operations**  
 Summary of FY 2013 Budget Estimates by Appropriation  
 Total Appropriations  
 (Dollars in Thousands)

Budget Activity	FY 2011 Actual		FY 2012 Enacted		FY 2013 Request		Increase (+) or Decrease (-) For FY 2013					
							Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Analysis and Operations	706	\$344,451	851	\$338,068	849	\$321,982	(2)	(\$16,086)	---	\$2,573	(2)	(\$18,659)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>706</b>	<b>\$344,451</b>	<b>851</b>	<b>\$338,068</b>	<b>849</b>	<b>\$321,982</b>	<b>(2)</b>	<b>(\$16,086)</b>	<b>0</b>	<b>\$2,573</b>	<b>(2)</b>	<b>(\$18,659)</b>
Less: Adjustments for Other Funding Sources:												
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>706</b>	<b>\$344,451</b>	<b>851</b>	<b>\$338,068</b>	<b>849</b>	<b>\$321,982</b>	<b>(2)</b>	<b>(\$16,086)</b>	<b>0</b>	<b>\$2,573</b>	<b>(2)</b>	<b>(\$18,659)</b>

**ii. Homeland and Non-Homeland Allocation**

**Analysis and Operations**  
 Homeland and Non-Homeland Allocation by Program/Project Activity  
 (Dollars in Thousands)

Budget Activity	2011 Actual						2012 Enacted						2013 Request					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Analysis and Operations	706	\$344,451	---	\$0	706	\$344,451	851	\$338,068	---	\$0	851	\$338,068	849	\$321,982	---	\$0	849	\$321,982
<b>Total Direct Appropriations and Budget Estimates</b>	706	\$344,451	---	\$0	706	\$344,451	851	\$338,068	---	\$0	851	\$338,068	849	\$321,982	---	\$0	849	\$321,982

### **iii. Status of Congressionally Requested Studies, Reports, and Evaluations**

All Congressionally mandated reporting requirements have been satisfied.

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security  
Component Name**

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

<b>Budget Activity</b>				
	<b>Last Year of Authorization</b>	<b>Authorized Level</b>	<b>Appropriation in Last Year of Authorization</b>	<b>FY 2013 Request</b>
	<b>Fiscal Year</b>	<b>Amount</b>	<b>Amount</b>	<b>Amount</b>
<b>Analysis and Operations</b>	N/A	N/A	N/A	<b>\$321,982</b>
<b>Total Direct Authorization/Appropriation</b>				<b>\$321,982</b>

\*Details regarding the Analysis & Operations appropriation can be found in the classified annex

# Department of Homeland Security

## *Analysis and Operations*

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Fiscal Year 2013  
Congressional Justification

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# BUDGET REQUEST AND SUPPORTING INFORMATION

## ANALYSIS AND OPERATIONS

### I. Appropriation Overview

#### **A. Mission Statement for Analysis and Operations:**

The Analysis and Operations appropriation provides resources for the support of the Office of Intelligence and Analysis and the Office of Operations Coordination and Planning. Even though these two offices are different and distinct in their missions, they work together and with other DHS Components to support the Department's mission of protecting the homeland. The mission of Intelligence and Analysis is to provide homeland security intelligence to the Secretary, other government officials, and State, local, and Private Sector partners. The mission of the Office of Operations Coordination and Planning is to integrate DHS and interagency planning and operations coordination in order to prevent, protect, respond to, and recover from terrorist threats/attacks or threats from other man-made or natural disasters.

#### **B. Budget Activities:**

*Office of Intelligence and Analysis (I&A)* - As a member of the U.S. Intelligence Community (IC), I&A is the nexus between the Nation's intelligence apparatus and DHS Components and other State, Local, and Private Sector (SLP) partners. I&A ensures that information is gathered from all relevant DHS field operations and other SLP partners and that this information is shared with appropriate stakeholders to produce accurate, timely and actionable analytical intelligence products and services. The Under Secretary for Intelligence and Analysis (U/SIA) leads I&A, and is also the Department's Chief Intelligence Officer (CINT), responsible for managing the entire DHS Intelligence Enterprise, and the Department's Chief Information Sharing Officer, responsible for implementing the objectives of the Program Manager – Information Sharing Environment (PM-ISE) within DHS.

*Office of Operations Coordination and Planning (OPS)* - OPS plays a pivotal role in DHS's mission to lead the unified national effort to secure America by facilitating the Secretary's responsibilities across the full spectrum of incident management (prevention, protection, response and recovery). OPS provides situational awareness, assessments and operations coordination for the DHS Secretary and facilitates operational information sharing with all DHS Components, as well as for Federal, State, local, tribal, private sector and international partners. In support of the Secretary's role as principal Federal official for domestic incident management, OPS develops and coordinates Departmental and interagency strategic-level operations plans.

#### **C. Budget Request Summary:**

The Analysis and Operations account requests 925 positions, 849 FTE and \$321.98 million for FY 2013. Details regarding the program increases can be found in the classified annex.

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Analysis and Operations**

Summary of FY 2013 Budget Estimates by Program/Project Activity  
 FY 2013 Request  
 (Dollars in Thousands)

Program/Project Activity	FY 2011 Actual		FY 2012 Enacted		FY 2013 Request		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
	Analysis and Operations	706	\$344,451	851	\$338,068	849	\$321,982	(2)	(16,086)	---	2,573	(2)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>706</b>	<b>\$344,451</b>	<b>851</b>	<b>\$338,068</b>	<b>849</b>	<b>\$321,982</b>	<b>(2)</b>	<b>(\$16,086)</b>	<b>---</b>	<b>\$2,573</b>	<b>(2)</b>	<b>(\$18,659)</b>
<b>Less: Adjustments for Other Funding Sources:</b>												
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>706</b>	<b>\$344,451</b>	<b>851</b>	<b>\$338,068</b>	<b>849</b>	<b>\$321,982</b>	<b>(2)</b>	<b>(\$16,086)</b>	<b>---</b>	<b>\$2,573</b>	<b>(2)</b>	<b>(\$18,659)</b>

\*Details regarding the Analysis & Operations appropriation can be found in the classified annex



### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Analysis and Operations**  
**Program Performance Justification**  
(Dollars in thousands)

PPA: ANALYSIS AND OPERATIONS

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual</b>	<b>784</b>	<b>706</b>	<b>\$334,360</b>
<b>2012 Enacted</b>	<b>908</b>	<b>851</b>	<b>338,068</b>
2013 Adjustments-to-Base	17	(2)	(18,659)
<b>2013 Current Services</b>	<b>925</b>	<b>849</b>	<b>317,990</b>
2013 Program Change	0	0	2,573
<b>2013 Request</b>	<b>925</b>	<b>849</b>	<b>321,982</b>
Total Change 2012-2013	17	(2)	(16,086)

Please reference classified Analysis and Operations annex.

#### **IV. Program Justification of Changes**

Please reference classified Analysis and Operations annex.

## **V. Exhibits and Other Supporting Materials**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
Analysis and Operations  
Justification of Proposed Changes in Analysis and Operations  
Appropriation Language**

*For necessary expenses for intelligence analysis and operations coordination activities, as authorized by Title II of the Homeland Security Act of 2002 (6 U.S.C. 121 et seq.), \$321,982,000, of which not to exceed \$4,250 shall be for official reception and representation expenses; and of which \$117,412,000 shall remain available until September 30, 2014.*

**Explanation of Changes:**

There are no substantive changes included.

## Analysis & Operations\*

### FY 2012 to FY 2013 Budget Change (Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b> .....	<b>784</b>	<b>706</b>	<b>\$344,452</b>
<b>2012 Enacted</b> .....	<b>908</b>	<b>851</b>	<b>338,068</b>
<b>Adjustments-to-Base</b>			
Increases			
Annualization of DHS Balanced Workforce Strategy and Inflationary Increase	-	11	3,464
GSA Rent.....	-	-	847
2013 pay increase.....	-	-	460
Total Increases.....	-	11	4,771
Decreases			
Non-Recurring Activities			(5,400)
FTE Reduction	-	(22)	(3,335)
FY 2013 DHS Balanced Workforce Strategy	17	9	(3,962)
Management Efficiencies	-	-	(4,229)
Contractor Savings	-	-	(6,504)
Total Decreases.....	17	(13)	(23,430)
<b>Total Adjustments-to-Base</b> .....	<b>17</b>	<b>(2)</b>	<b>(18,659)</b>
<b>2013 Current Services</b> .....	<b>925</b>	<b>849</b>	<b>319,409</b>
<b>Program Changes</b>			
Program Increases/(Decreases)			
Analysis & Operations.....	-	-	2,573
<b>Total Program Changes</b> .....	<b>-</b>	<b>-</b>	<b>2,573</b>
<b>2013 Request</b> .....	<b>925</b>	<b>849</b>	<b>321,982</b>
<b>2012 to 2013 Total Change</b> .....	<b>17</b>	<b>(2)</b>	<b>(16,086)</b>

\*Details regarding the Analysis & Operations appropriation can be found in the classified annex

**C: Summary of Requirements**

**Department of Homeland Security  
Analysis and Operations**

Summary of Requirements  
(Dollars in Thousands)

	2013 Request		
	Perm. Pos.	FTE	Amount
<b>FY 2011 Actual</b>	<b>784</b>	<b>706</b>	<b>\$344,541</b>
<b>2012 Enacted</b>	<b>908</b>	<b>851</b>	<b>338,068</b>
Adjustments-to-Base (See "FY 2011 to FY 2012 Budget Change" for details)			
Transfers			
Increases	17	20	3,627
Decreases	--	(22)	(22,286)
Total Adjustments-to-Base	17	(2)	(18,659)
<b>2013 Current Services</b>	<b>925</b>	<b>849</b>	<b>319,409</b>
Program Changes (See "FY 2011 to FY 2012 Budget Change" for details)			2,573
<b>2013 Total Request</b>	<b>925</b>	<b>849</b>	<b>321,982</b>
2012 to 2013 Total Change	17	(2)	(16,086)

\*Details regarding the Analysis & Operations appropriation can be found in the classified annex

**D. Summary of Reimbursable Resources**

**Please reference classified Analysis and Operations annex.**

## E: Summary of Requirements by Object Class

### Department of Homeland Security Analysis and Operations

#### Summary of Requirements by Object Class (Dollars in Thousands)

Object Classes	FY 2011 Actual	2012 Enacted	2013 Request	2012 - 2013 Change
11.1 Total FTE & personnel compensation	\$75,370	\$90,361	\$91,784	\$1,423
11.3 Other than full-time permanent	594	132	140	8
11.5 Other Personnel Compensation	3,510	3,148	3,150	2
11.8 Special Service Pay	1,097	1,648	1,654	6
12.1 Benefits	21,391	26,701	27,429	728
13.0 Benefits - former	---	---	---	---
<b>Total, Personnel Comp. &amp; Benefits</b>	<b>\$101,962</b>	<b>\$121,990</b>	<b>\$124,157</b>	<b>\$2,167</b>
Other Object Classes:				
21.0 Travel	4,662	5,748	5,044	(704)
22.0 Transportation of things	340	20	127	107
23.1 GSA rent	8,854	10,080	11,067	987
23.2 Other rent	87	---	---	---
23.3 Communications, utilities, & other misc. charges	---	---	---	---
23.7 IT Equipment Rental and Lease	21	---	---	---
24.0 Printing and reproduction	11	104	104	---
25.1 Advisory and assistance services	150,041	108,043	93,552	(14,491)
25.2 Other services	482	1,553	1,960	407
25.3 Purchases of goods & svcs. from Gov't accounts	51,192	59,516	56,910	(2,606)
25.4 Operation & maintenance of facilities	923	275	275	---
25.5 Research and development contracts	---	---	---	---
25.6 Medical care	---	---	---	---
25.7 Operation and maintenance of equipment	14,349	18,904	17,112	(1,792)
25.8 Subsistence and support of persons	---	---	---	---
26.0 Supplies and materials	934	2,467	2,320	(147)
31.0 Equipment	13,517	11,788	9,354	(2,434)
32.0 Land & structures	1,640	---	---	---
41.0 Grants/Subsidies/Contributions	---	---	---	---
42.0 Indemnity	50	---	---	---
43.0 Interest & dividends	---	---	---	---
44.0 Refunds	---	---	---	---
91.0 Unvouchered	---	---	---	---
99.0 Other	---	---	---	---
<b>Total, Other Object Classes</b>	<b>247,103</b>	<b>218,498</b>	<b>197,825</b>	<b>(20,673)</b>
<b>Total, Direct Obligations</b>	<b>\$349,065</b>	<b>\$340,488</b>	<b>\$321,982</b>	<b>(\$18,506)</b>
Unobligated balance, start of year	(5,957)	(2,420)	---	(2,420)
Unobligated balance, end of year	2,436	---	---	---
Recoveries of prior year obligations	(13,657)	---	---	---
<b>Total Requirements</b>	<b>\$331,887</b>	<b>\$338,068</b>	<b>\$321,982</b>	<b>(\$20,926)</b>

## F: Permanent Positions by Grade

### Department of Homeland Security Analysis & Operations

#### Permanent Positions by Grade

Grades and Salary Ranges	FY 2011 Actual	2012 Enacted	2013 Request	2012 - 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	28	34	34	---
Total, EX	4	6	6	---
GS-15	147	147	147	---
GS-14	252	270	275	5
GS-13	147	190	196	6
GS-12	108	130	129	(1)
GS-11	46	74	71	(3)
GS-10	---	---	---	---
GS-9	50	52	62	10
GS-8	---	---	---	---
GS-7	2	5	5	---
GS-6				---
GS-5				---
GS-4				---
GS-3				---
GS-2				---
Other Graded Positions				---
Ungraded Positions				---
<b>Total Permanent Positions</b>	<b>784</b>	<b>908</b>	<b>925</b>	<b>17</b>
Unfilled Positions EOY	56	46	68	22
Total Perm. Employment EOY	822	862	857	(5)
<b>FTE</b>	<b>706</b>	<b>851</b>	<b>849</b>	<b>(2)</b>
<b>Average ES Salary</b>	\$ 162,106	\$ 165,256	\$ 167,421	\$ 2,165
<b>Average GS Salary</b>	\$ 95,928	\$ 94,184	\$ 93,936	\$ (248)
<b>Average GS Grade</b>	13.00	13.00	13.00	

\*Details regarding the Analysis & Operations appropriation can be found in the classified annex



**G. Capital Investment and Construction Initiative Listing**

N/A

## **H. PPA Budget Justifications**

Please reference classified Analysis and Operations annex.

## **I. Changes in FTE**

Please reference classified Analysis and Operations annex.

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

**Department of Homeland Security  
Analysis & Operations\***

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual	FY 2012 Estimate	FY 2013 Estimate	Increase / Decrease for FY 2013
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
Analysis & Operations	\$45,467	\$45,466	\$49,675	\$4,209
<b>Total Working Capital Fund</b>	<b>\$45,467</b>	<b>\$45,466</b>	<b>\$49,675</b>	<b>\$4,209</b>

\*Details regarding the Analysis & Operations appropriation can be found in the classified annex

# Department of Homeland Security

*Office of Inspector General*

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Fiscal Year 2013  
One-Time Exhibits  
Congressional Justification

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**i. Summary of FY Budget Estimates by Appropriation**

**Department of Homeland Security  
Office of Inspector General  
Summary of FY 2013 Budget Estimates by Appropriation**

Total Appropriations  
(Dollars in Thousands)

Program Project Activity/SUPERPPA	FY 2011		FY 2012		FY 2013		Increase(+) or Decrease(-) for FY 2013					
	Actual Obligations		Enacted Budget Authority		Requested Budget Authority		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Audits, Inspections and Investigations Program	665	133,464	676	141,000	683	143,664	7	2,664	-	2,565	7	99
<b>Total, Office of Inspector General</b>	<b>665</b>	<b>133,464</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>143,664</b>	<b>7</b>	<b>2,664</b>	<b>-</b>	<b>2,565</b>	<b>7</b>	<b>99</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>665</b>	<b>133,464</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>143,664</b>	<b>7</b>	<b>2,664</b>	<b>-</b>	<b>2,565</b>	<b>7</b>	<b>99</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>665</b>	<b>133,464</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>143,664</b>	<b>7</b>	<b>2,664</b>	<b>-</b>	<b>2,565</b>	<b>7</b>	<b>99</b>

Note: Includes transfer from Federal Emergency Management Agency's (FEMA's) Disaster Relief Fund (DRF) \$15.968 million in FY 2011 and \$24 million in FY 2012.

**ii. Homeland and Non-Homeland Allocation**

**Department of Homeland Security  
Office of Inspector General  
FY 2013 Homeland and Non-Homeland Allocation by Program/Projects Activity  
(Dollars in Thousands)**

Budget Activity	FY 2011 Actual Obligations						FY 2012 Enacted Budget Authority						FY 2013 Requested Budget Authority					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
	Audits, Inspections and Investigations	665	\$133,464	-	-	665	\$133,464	676	\$141,000	-	-	676	\$141,000	683	\$143,664	-	-	683
Audits, Inspections and Investigations	665	133,464	-	-	665	133,464	676	141,000	-	-	676	141,000	683	143,664	-	-	683	143,664
<b>Total Direct Appropriations and Budget Estimates</b>	<b>665</b>	<b>\$133,464</b>	<b>-</b>	<b>-</b>	<b>665</b>	<b>\$133,464</b>	<b>676</b>	<b>\$141,000</b>	<b>-</b>	<b>-</b>	<b>676</b>	<b>\$141,000</b>	<b>683</b>	<b>\$143,664</b>	<b>-</b>	<b>-</b>	<b>683</b>	<b>\$143,664</b>

-  
Note: Includes transfer from FEMA's \$15.968 million in FY 2011 and \$24 million in FY 12.



**iii. Status of Congressionally Requested Studies, Reports, and Evaluations**

**Department of Homeland Security  
Office of Inspector General**

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2008	Fourth Quarter Calendar Year 2011 report due 1/31/2012	Executive Order 13462 (as amended by Executive Order 13516); Executive Order 12333, as amended.	Intelligence Oversight and Quarterly Reporting - Final Report Each Quarter - EO 13462 requires us to report on Departmental compliance with EO12333, identifying violations and mitigating actions taken in response. Intelligence elements of DHS include the Office of Intelligence and Analysis, the USCG National Intelligence Element, and those DHS elements concerned with the analysis of intelligence information. The report, signed by the IG and DHS General Counsel, is submitted quarterly to the Intelligence Oversight Board, a standing committee of the President's Intelligence Advisory Board.	Expected to complete by 1/30/2012.
1998	2/1/2012	Office of National Drug Control Policy Reauthorization Act of 1998 (P.L. 105-277), Sec. 705(d) (Title VII of the FY 1999 Omnibus Consolidated and Emergency Supplemental Appropriations Act); ONDCP Circular: Drug Control Accounting (May 1, 2007)	Annual Office of National Drug Control Policy (ONDCP) Review – Reviews of CBP, USCG, and ICE – Under 21 U.S.C. § 1704(d) and the ONDCP Circular: Drug Control Accounting (dated May 1, 2007), our office is required to perform a review of assertions made by the Department related to all funds expended by the Department for National Drug Control Program activities during the previous fiscal year.	Expected to complete by 2/1/2012.
2012	2/15/2012	FY 2012 Omnibus Appropriations Act (P.L. 112-74)	Review of Departmental Contracts - Requires the Inspector General to review Departmental contracts awarded noncompetitively during the prior Fiscal Year and report on the results.	Ongoing: Expected to complete by 2/15/2012.
2010	3/30/2012	Improper Payments Elimination and Recovery Act (IPERA) of 2010 (P.L. 111-204)	IPERA Audit - Requires each agency's Inspector General to report each fiscal year regarding the agency's compliance with requirements of the Act.	Ongoing: Expected to complete by 3/30/2012.

1978	4/30/2012 & 10/31/2012 to Department and to Congress 30 days later	Inspector General Act of 1978 (P.L. 95-452), as amended. Sec. 5	Semiannual Report to Congress – Inspector General Act requires semiannual reports summarizing the activities of the office during the preceding six-month period	SAR for the time period 4/01/11-9/30/11 delivered to Congress on 11/30/11. SAR for time periods 10/1/11-03/31/12 and 4/01/12-9/30/12 both expected on time.
2010	4/30/2012 & 10/31/2012 to Department and to Congress 30 days later	Dodd-Frank Wall Street Reform Act (P.L. 111-203)	Information on Peer Reviews - Requires "(A) an appendix containing the results of any peer review conducted by another Office of Inspector General during the reporting period;" or "(B) if no peer review was conducted within that reporting period, a statement identifying the date of the last peer review conducted by another Office of Inspector General; "(15) a list of any outstanding recommendations from any peer review conducted by another Office of Inspector General that have not been fully implemented, including a statement describing the status of the implementation and why implementation is not complete; and "(16) a list of any peer reviews conducted by the Inspector General of another Office of the Inspector General during the reporting period, including a list of any outstanding recommendations made from any previous peer review (including any peer review conducted before the reporting period) that remain outstanding or have not been fully implemented." <i>(Note - This information is included in the SAR.)</i>	SAR for the time period 4/01/11-9/30/11 delivered to Congress on 11/30/11. SAR for time periods 10/1/11-03/31/12 and 4/01/12-9/30/12 both expected on time.
2008	First Quarter Calendar Year 2012 report due 4/30/2012	Executive Order 13462 (as amended by Executive Order 13516); Executive Order 12333, as amended.	Intelligence Oversight and Quarterly Reporting - Final Report Each Quarter - EO 13462 requires us to report on Departmental compliance with EO12333, identifying violations and mitigating actions taken in response. Intelligence elements of DHS include the Office of Intelligence and Analysis, the USCG National Intelligence Element, and those DHS elements concerned with the analysis of intelligence information. The report, signed by the IG and DHS General Counsel, is submitted quarterly to the Intelligence Oversight Board, a standing committee of the President's Intelligence Advisory Board.	Expected to complete by 4/30/2012.

2008	Second Quarter Calendar Year 2012 report due 7/31/2012	Executive Order 13462 (as amended by Executive Order 13516); Executive Order 12333, as amended.	Intelligence Oversight and Quarterly Reporting - Final Report Each Quarter - EO 13462 requires us to report on Departmental compliance with EO12333, identifying violations and mitigating actions taken in response. Intelligence elements of DHS include the Office of Intelligence and Analysis, the USCG National Intelligence Element, and those DHS elements concerned with the analysis of intelligence information. The report, signed by the IG and DHS General Counsel, is submitted quarterly to the Intelligence Oversight Board, a standing committee of the President's Intelligence Advisory Board.	Expected to complete by 7/31/2012.
2003	9/15/2012	Federal Information Security Management Act of 2002 (FISMA) (Title III of the E-Government Act of 2002) (P.L. 107-347); House Report 107-787 Sec. 3535 (b)(1), p. 34, p. 80, p. 102, p. 109	Annual Information Security Review - Annual independent evaluation of the information security program and practices of the agency to determine the effectiveness of such program and practices.	Expected to complete by 9/15/2012.
2008	9/15/2012	FY 2008 Consolidated Appropriations (P.L. 110-161)	Annual Agency-wide Periodic Privacy Act Review -Sec. 742. (a) None of the funds made available in this Act may be used in contravention of Section 552a of Title 5, United States Code (popularly known as the Privacy Act) and regulations implementing that section. (b) Section 522 of Division H of the Consolidated Appropriations Act, 2005 (Public Law 108-447; 118 Stat. 3268; 5 U.S.C. 552a note) is amended by striking subsection (d) and inserting the following: “(d) INSPECTOR GENERAL REVIEW.—The Inspector General of each agency shall periodically conduct a review of the agency’s implementation of this section and shall report the results of its review to the Committees on Appropriations of the House of Representatives and the Senate, the House Committee on Oversight and Government Reform, and the Senate Committee on Homeland Security and Governmental Affairs. The report required by this review may be incorporated into a related report to Congress otherwise required by law including, but not limited to, 44 U.S.C. 3545, the Federal Information Security Management Act of 2002. The Inspector General may contract with an independent, third party organization to conduct the review.” (Note - This review is included in the annual FISMA review.)	Expected to complete by 9/15/2012.

2002	9/15/2012	The Homeland Security Act of 2002 (P.L. 107-296), Sec. 888(f)	Annual USCG Mission Review - Annual review to assess thoroughly the performance by the Coast Guard of all missions of the Coast Guard, with a particular emphasis on examining the non-homeland security missions.	Expected to complete by 9/15/2012.
2004	9/15/2012	The Coast Guard & Maritime Transportation Act of 2004 (P.L. 108-293), Sec. 809(g)	Annual Cargo Inspection Report - Inspector General report evaluating cargo inspection targeting system for international intermodal cargo containers.	Expected to complete by 9/15/2012.
2012	9/15/2012	FY 2012 Omnibus Appropriations Act (P.L. 112-74)	ICE's 287(g) Agreements -- It is implied that OIG must review the delegation of law enforcement authority agreements that ICE enters into pursuant to section 287(g) of the Immigration and Nationality Act. Specifically, the bill requires ICE to cancel any 287(g) agreements where the Inspector General has determined that the terms of the agreement have been violated.	Not Started - Expected to complete by 9/15/2012.
1991	11/15/2012	CFO Act of 1990 (P.L. 101-576), Sec. 304	Annual Audit of DHS' Consolidated Financial Statements - The Chief Financial Officers Act requires that an annual financial statement audit be performed at DHS.	Expected to complete by 11/15/2012.
2005	11/15/2012	DHS Financial Accountability Act (P.L. 108-330), Sec. 4; OMB Circular A-123, Appendix A, II-V	Annual Audit of DHS' Internal Control Over Financial Reporting - Annual audit, jointly conducted by the Chief Financial Officers Council and the President's Council on Integrity and Efficiency (PCIE), of DHS' internal control over financial reporting to express an opinion about whether DHS maintained effective internal control. OMB Circular A-123, Management's Responsibility for Internal Control (Revised), requires agency management to assess and document internal control over financial reporting; identify needed improvements; take corresponding corrective action; and make an assertion about the effectiveness of internal control over financial reporting. The audit will assess DHS management's assertion and effort to implement the Circular, which addresses financial performance in the President's Management Agenda. (Note - This audit is included with the Consolidated Financial Statement Audit.)	Expected to complete by 11/15/2012.
2000	11/15/2012	Reports Consolidation Act of 2000 (P.L. 106-531), Sec. 3(a)	Annual Report on Major Management Challenges - Congress requires an Inspector General report that summarizes what the Inspector General considers to be the most serious management and performance challenges facing the agency and briefly assesses the agency's progress in addressing those challenges. Report is included in the Department's annual report submitted to the President, Director of OMB, and	Expected to complete by 11/15/2012.

			Congress no later than 150 days after the end of the fiscal year.	
2007	12/31/2012	Implementing Recommendations of the 9/11 Commission Act of 2007 (P.L. 110-53), Sec. 2022(a)(3) (D)	Annual Consolidated Report on Reviews of Grants to States and High Risk Urban Areas - The Inspector General of the Department shall submit to the appropriate committees of Congress an annual consolidated report regarding the audits completed during the fiscal year before the date of that report.	Expected to complete by 12/31/2012.
2007	8/3/2014	Implementing Recommendations of the 9/11 Commission Act of 2007 (P.L. 110-53), Sec. 2022(a)(3)	Annual Review of Grants to States and High Risk Urban Areas - Requires Inspector General to conduct annual audits of a sample of states and high-risk urban areas that receive certain grant monies. Also requires one audit of each state that is a recipient of grant funding in the seven year period post-enactment of the legislation.	Ongoing: 18 state audits completed; 20 audits currently ongoing. All 61 required audits expected to be completed by August 2014.
2011	9/30/2016	Reducing Over-Classification Act (P.L. 111-258)	Classification Program Review - Requires that the Inspector General (in consultation with the Information Security Oversight Office) perform at least two evaluations of the Department's classification program by September 30, 2016. The first review must be completed no later than September 30, 2013.	Not Started - Part 1 expected to complete by 9/30/2013.

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security**

**Office of Inspector General**

FY 2013 Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity  
(Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Requested Budget Authority
	Fiscal Year	Amount	Amount	Amount
Audits, Inspections and Investigations	N/A	N/A	N/A	\$143,664
Total Direct Authorization/Appropriation	N/A	N/A	N/A	\$143,664

**Department of  
Homeland Security**  
*Office of Inspector General*  
*Audits, Inspections and Investigations*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Office of Inspector General Audits, Inspections and Investigations**

## **I. Appropriation Overview**

### **A. Mission Statement for Salaries and Expenses:**

The Department of Homeland Security (DHS) Office of Inspector General (OIG) was established by the *Homeland Security Act of 2002* (P.L. 107-296), by amendment to the *Inspector General Act of 1978*. The OIG has a dual reporting responsibility to the Secretary of DHS and to the Congress. The OIG serves as an independent and objective inspection, audit, and investigative body to promote economy, efficiency, and effectiveness in DHS's programs and operations, and to prevent and detect fraud, waste, and abuse in such programs and operations. Based on direction from DHS, for fiscal year (FY) 2013, the OIG requests 683 full-time positions (FTP), 683 full time equivalents (FTE) and \$143.664 million. The request is an increase of \$2.664 million over the FY 2012 base.

### **Mission Statement**

The OIG contributes to DHS's success by providing objective information to promote government management, decision making, and accountability. The OIG is an agent of positive change, focusing on eliminating waste, fraud and abuse, and on identifying problems and recommendations for corrective actions by agency leadership. The OIG provides the Department and the Congress with objective assessments of opportunities to be more successful.

The OIG conducts and supervises audits, inspections, special reviews, and investigations of the Department's programs and operations, including program and financial management, contract and grant activity, and disaster relief efforts. The OIG conducts these reviews to offer recommendations for improving the economy, efficiency, and effectiveness of the Department's operations and activities, when necessary; and to deter, identify, and address fraud, waste, and abuse. The OIG annually publishes a schedule of audits, inspections, and investigations that will assist the Department in fulfilling its mission and goals, and reports its findings to the Secretary, the Congress, and the public, when appropriate. The Inspector General (IG) statements for the record and testimony may be accessed through our website at [www.dhs.gov/xoig](http://www.dhs.gov/xoig).

## **B. Budget Activities:**

The OIG has one budget for audits, inspections, and investigations; the request funds 683 FTE assigned to the following executive management and oversight teams:

*The Executive Office* consists of the IG, the Deputy IG, a Chief of Staff, a Deputy Chief of Staff, a Senior Management Analyst, and a Special Assistant. It provides executive leadership to the OIG. The office has 6 FTE.

*The Office of Legislative Affairs (OLA)* serves as primary liaison to members of Congress and their staffs, the White House and Executive Branch, and to other governmental agencies and entities involved in securing the Nation. The office staff responds to inquiries from the Congress and the White House; notifies the Congress about OIG initiatives, policies, and programs; and informs other governmental entities about OIG initiatives that affect their operations and activities. The office distributes correspondence and final audit, inspection, and special reports to the Congress and the White House. It also provides advice to the IG and supports OIG staff as they address Congressional and White House inquiries. The office has 3 FTE.

*The Office of Public Affairs (OPA)* is the principal point of contact for the OIG with all media outlets and the general public. OPA provides news organizations with accurate and timely information in compliance with legal, regulatory, and procedural rules. Additionally, OPA is responsible for an integrated communications approach, addressing external and internal communication functions. The office prepares and issues news releases, arranges interviews, and coordinates and analyzes information to support the OIG's policy development and mass communications needs. OPA ensures that information provided is current, accurate, and issued in a timely manner, promoting accountability and transparency in the work of the OIG. Furthermore, OPA provides counsel to the IG and other management officials on complex programmatic and public affairs issues that affect the OIG and its relationship with DHS, other Federal, State, and local government offices, the media, and the general public. The office has 3 FTE.

*The Office of Counsel (OC)* provides legal advice and guidance to the IG and other management officials. The office interprets laws, rules and regulations, reviews reports and correspondence, and further supports audits, inspections, and investigations by ensuring and conducting legal sufficiency reviews. OC represents the OIG in Equal Employment Opportunity actions, Merit Systems Protection Board actions, and claims filed under the *Federal Torts Claims Act*; represents OIG investigators in conjunction with the Department of Justice (DOJ) in *Bivens* actions; and assists DOJ with *Giglio* requests. The office reviews all DHS management directives and delegations to ensure protection of OIG authorities and compliance of applicable laws and regulations. The office serves as the OIG's designated ethics office, manages the OIG's *Freedom of Information Act* and *Privacy Act* responsibilities, furnishes attorney services for the issuance and enforcement of OIG subpoenas, and provides legal advice on OIG operations. The office has 14 FTE.

*The Office of Management (OM)* provides critical administrative support functions, including strategic planning and budgeting; development and implementation of administrative directives; management of information and office automation systems; and oversight of the personnel, training, procurement, security systems, and policy. It utilizes the Bureau of Public Debt to provide travel and accounting

services on a reimbursable basis. The office also prepares the OIG's annual performance plans and the semiannual reports to the Congress. The office has 65 FTE.

*The Office of Audits (OA)* conducts and coordinates audits and program evaluations of the management and financial operations of DHS. Auditors examine the methods employed by agencies, bureaus, grantees, and contractors in carrying out essential programs or activities. The office evaluates whether established goals and objectives are achieved and resources are used economically and efficiently; ensures whether intended and realized results are consistent with laws, regulations, and good business practice; and determines whether financial accountability is achieved and the financial statements are not materially misstated. The office has 173 FTE.

*The Office of Information Technology Audits (ITA)* conducts audits and evaluations of DHS's information management, cyber infrastructure, and systems integration activities; and provides technical forensics assistance to OIG offices in support of the OIG's fraud prevention and detection mission. The office reviews the cost effectiveness of acquisitions, implementation, and management of major systems, and telecommunications networks across DHS. The office evaluates the systems and related architectures of DHS to ensure they are effective, efficient, and implemented according to applicable policies, standards, and procedures. The office assesses DHS's information security program as mandated by the *Federal Information Security Management Act*. The office also provides technical forensics assistance to OIG offices in support of OIG's fraud prevention and detection program. The office has 50 FTE.

*The Office of Inspections (ISP)* provides the IG with a means to analyze programs quickly and to evaluate operational efficiency, effectiveness, and vulnerability. This work includes special reviews of highly visible or sensitive issues that arise suddenly, as well as congressional requests and mandates for studies that require immediate attention. The nature of this work requires timely reporting to high-level audiences, including the Secretary and the Congress. The office has four specialty areas: science and technology, civil rights and civil liberties, intelligence oversight, and international operations, but may examine any area of the Department in an effort to strengthen and unify DHS operations and management systems and make recommendations which can help ensure that the Department programs function efficiently, effectively, and with minimal vulnerability. The office is the lead organization in the OIG for monitoring DHS intelligence activities. DHS has two members of the Intelligence Community (IC) - the United States Coast Guard (USCG) and the Office of Intelligence and Analysis (I&A). Because USCG and I&A represent DHS's connection to the IC, it is essential that OIG provide oversight of their intelligence activities. OIG's goal is to ensure that the DHS intelligence enterprise conducts its operations according to law; that intelligence is appropriately shared among DHS components, other Federal agencies, and State and local stakeholders; and that initiatives such as fusion centers and protective security advisors operate effectively and efficiently. In this capacity, the office reports on the use of intelligence information within the Department, and coordinates the OIG's interaction with the multi-agency intelligence community. The office has 44 FTE.

*The Office of Investigations (INV)* conducts investigations into allegations of criminal, civil, and administrative misconduct involving DHS employees, contractors, grantees, and programs. These investigations can result in criminal prosecutions, fines, civil monetary penalties, and administrative sanctions and personnel actions. The office has broad investigative and oversight responsibilities which mirrors Departmental priorities in working to ensure the integrity of the Nation's immigration

system, borders, ports of entry, and national transportation network. INV is committed to protecting the civil rights and liberties of all persons in the US and investigates all referrals of detainee deaths involving unusual or suspicious circumstances, all on-duty incidents involving the discharge of a firearm by a DHS employee, and all credible allegations of criminal abuse of authority that result in the deprivation of rights or other serious criminal offense. Further, INV conducts investigations into allegations of gross misuse of classified information, privacy or law enforcement information and allegations of criminal misconduct in the administration of immigration benefits. In addition, INV oversees the integrity of programs that distribute DHS funds for routine operations; in response to disasters and disaster preparedness training and in association with programs used in the development of technologies critical to combating terrorism. INV collects, analyzes, and distributes data concerning fraud and misconduct through our national hotline operation and the National Center for Disaster Fraud (NCDF). The Investigations Hotline Correspondence Unit continues improvements to its systems for receiving, routing, and responding to thousands of routine complaints each year which report allegations of criminal or administrative misconduct, theft of Departmental funds, corruption by DHS employees or other serious misconduct involving DHS employees, contractors, grantees, and programs. The unit also receives and responds to Congressional and other official correspondence. The INV Federal Emergency Management Agency (FEMA) Support Unit maintains a liaison with FEMA and provides support to the NCDF by improving information access and communications, ensuring complaints are referred for investigation, and that prosecutions and recoveries are accurately tracked and documented. Additionally, INV continues to exercise important oversight responsibilities and monitors the investigative activity of the DHS component Internal Affairs units who are tasked with investigating administrative misconduct issues within the DHS. The newly developed Forensic Threat Analysis Unit is responsible for analyzing investigative information and associating data to identify trends, patterns, locations, and individuals suspected of corrupt behavior. Evidence of criminality will be forwarded to field components for further investigation, enhancing our effectiveness in detecting and prosecuting corruption. The office has 260 FTE.

*The Office of Emergency Management Oversight (EMO)* provides an aggressive and ongoing audit and investigative effort designed to ensure that disaster relief funds are being spent appropriately, while identifying fraud, waste, and abuse as early as possible. The office is an independent and objective means of keeping the Congress, the Secretary, the Administrator of FEMA, and other Federal disaster relief agencies fully informed on problems and deficiencies relating to disaster operations and assistance programs, and progress regarding corrective actions. EMO's focus is weighed heavily towards prevention, including reviewing internal controls, and monitoring and advising DHS and FEMA officials on contracts, grants, and purchase transactions before they are approved. This allows the office to stay current on disaster relief operations and provide on-the-spot advice on internal controls and precedent-setting decisions. The office coordinates with other Federal IG offices, meets with State and local officials on audit and investigative matters, and advises contractors and grantees on compliance requirements. The office has 65 FTE.

### **C. Budget Request Summary:**

The OIG requests 683 FTP, 683 FTE, and \$143.664 million for FY 2013. The FY 2013 OIG request includes \$1.0 million for training and \$0.468 million for supporting the Council of Inspectors General on Integrity and Efficiency (CIGIE).

The OIG's request reflects total adjustment-to-base increases totaling \$2.450 million including the funding of \$0.468 million to support CIGIE, \$1.320 million for annualization of prior year, part year funded FTE, \$0.400 million for a 0.5% pay increase, and \$0.262 million for increased GSA rent costs. The request also includes decreases totaling \$2.351 million with \$0.367 million in efficiency cost savings, \$0.069 million for permanent change of station costs, \$0.625 million for general travel, \$0.053 million for headquarters administration, and \$1.237 million for outsourcing efficiencies. Also included is a program increase of \$2.565 million to execute the *9/11 Commission Act* audits.

## **Initial Budget Request**

The OIG submitted an initial request of \$165.10 million in funding to the DHS at the beginning of the FY 2013 budget process. It requested 49 new positions and 32 FTE for investigative efforts. The request included program increases totaling \$35.1 million that consisted of three major components:

- \$19.0 million to increase investigative services
- \$ 8.0 million to support EMO program with no increase in position or FTE
- \$ 8.1 million to execute the *9/11 Commission Act* audits with no increase in positions or FTE.

However, per DHS's guidance, the OIG re-submitted the request reducing the total to \$114 million in base resources and a \$16 million transfer from the Disaster Relief Fund (DRF) without any increase for program changes.

Subsequently, the OIG submitted a modified request of \$169.37 million in funding to the Office of Management and Budget (OMB) based on a 2012 estimated funding level of \$140 million. As in the initial submission to DHS, it requested 49 new positions and 25 FTE for investigative efforts. The request included program increases totaling \$26.6 million that consisted of three major components:

- \$19.0 million to increase investigative services
- \$4.0 million to support EMO program with no increase in positions or FTE
- \$3.6 million to execute the *9/11 Commission Act* audits with no increase in positions or FTE.

However, the OMB passback settlement contained an increase totaling only \$2.56 million to execute the *9/11 Commission Act* audits. This is \$24.0 million less than the modified increase requested.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Office of Inspector General

#### Summary of FY 2013 Budget Estimates by Program Project Activity/Appropriation

#### FY 2013 Requested Budget Authority (Dollars in Thousands)

Program Project Activity/Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Audits, Inspections and Investigations	668	665	133,464	683	676	141,000	683	683	143,664	-	7	2,664	-	-	2,565	-	7	99
<b>Total, Office of Inspector General</b>	<b>668</b>	<b>665</b>	<b>133,464</b>	<b>683</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>683</b>	<b>143,664</b>	<b>-</b>	<b>7</b>	<b>2,664</b>	<b>-</b>	<b>-</b>	<b>2,565</b>	<b>-</b>	<b>7</b>	<b>99</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>668</b>	<b>665</b>	<b>133,464</b>	<b>683</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>683</b>	<b>143,664</b>	<b>-</b>	<b>7</b>	<b>2,664</b>	<b>-</b>	<b>-</b>	<b>2,565</b>	<b>-</b>	<b>7</b>	<b>99</b>

Note: Includes transfer from FEMA's DRF \$15.968 million in FY 2011 and \$24 million in FY 2012.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Office of Inspector General**  
**Audits, Inspections and Investigations**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Audits, Inspections and Investigations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>668</b>	<b>665</b>	<b>133,464</b>
<b>2012 Enacted Budget Authority</b>	<b>683</b>	<b>676</b>	<b>141,000</b>
2013 Adjustments-to-Base	-	7	99
<b>2013 Current Services</b>	<b>683</b>	<b>683</b>	<b>141,099</b>
2013 Program Change	-	-	2,565
<b>2013 Total Requested Budget Authority</b>	<b>683</b>	<b>683</b>	<b>143,664</b>
Total Change 2012 to 2013	-	7	2,664

The OIG requests 683 FTP, 683 FTE, and \$143.664 million for FY 2013. The request includes adjustment-to-base increases totaling \$2.450 million, including \$1.320 million for annualization of prior year part year funded FTE, \$0.400 million for pay increase, \$0.262 million for GSA rent increase, and \$0.468 million for supporting CIGIE. The decreases totaling \$2.351 million include \$1.114 million in efficiencies as outlined below, and an additional \$1.237 million in efficiencies related to outsourcing expenses. The FY 2013 request includes \$1.0 million for training.

The \$1.114 million in management efficiencies will be accomplished as follows: Permanent Change of Station (PCS) costs – (\$.069 million); General TDY and Travel - (\$.625 million); Overtime reduction - (\$.002 million); Efficiency Cost Savings - (\$.367 million) – HQ Administrative Efficiencies - (\$.052 million).

The Audits, Inspections and Investigations PPA will achieve efficiencies through personnel, travel, strategic sourcing, contractual services, and information technology infrastructure reductions.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Specifically, the OIG’s key legislated responsibilities, and the funds requested in FY 2013 are to:

- Promote economy, efficiency, and effectiveness in the management of the Department’s programs and supporting operations;

- Conduct and supervise audits, investigations, and inspections relating to the Department's programs and support operations;
- Detect and prevent fraud, waste, and abuse;
- Review existing and proposed legislation and regulations and make appropriate recommendations;
- Maintain effective working relationships with other Federal, State, and local governmental agencies, and non-governmental entities regarding the mandated duties of the OIGs;
- Inform the Secretary of Homeland Security and the Congress of serious problems and recommend corrective actions and implementation strategies; and,
- Comply with the audit standards of the Comptroller General of the Government Accountability Office (GAO); avoid duplication of GAO activities; and report violations of Federal criminal law to the U.S. Attorney General.



## IV. Program Justification Changes

**Department of Homeland Security  
Office of Inspector General  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Implementing the Recommendation of the 9/11 Commission Act  
PPA: Audits, Inspections and Investigations  
Program Increase: Positions 0, FTE 0, \$2,565

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							683	683	141,099
Program Increase							-	-	2,565
<b>Total Request</b>	<b>668</b>	<b>665</b>	<b>133,464</b>	<b>683</b>	<b>676</b>	<b>141,000</b>	<b>683</b>	<b>683</b>	<b>143,664</b>

### Description of Item

The *9/11 Commission Act* mandated that the OIG conduct audits of all states that received FEMA grant funds to prevent, prepare for, protect against, or respond to natural disasters, acts of terrorism, and other disasters. Also, the Act authorized the DHS to allocate \$8.5 million for fiscal years 2008, 2009, and 2010 and sums as are necessary for FY 2011 and each fiscal year thereafter. Accordingly, the OIG requested \$36.6 million from fiscal years 2008 - 2013. However, so far, DHS OIG has been funded with only \$3.5 million to conduct the mandated audits. Funding pays for contracted auditing services as well as OIG in-house auditors' expenses, which includes travel and supplies. The OIG will accomplish the *9/11 Commission Act* audits using both contracted and in-house auditors. The OIG expects to perform compliance audits with contracted auditors and the performance audits with in-house personnel.

### Justification

The \$2.565 million requested increase will provide the necessary funds to stay on course to conduct the Congressionally mandated audits by August 2014. Two states will be re-audited, bringing the total audits to 61. To date, the OIG has managed to complete 18 and start 20 out of 61 required audits. The \$2.565 million increase will allow the OIG to conduct most of the remaining 23 audits in FY 2013 and position the OIG to complete all 61 audits by the deadline. The lack of adequate budgetary resources will prevent the OIG from completing the mandated audits required by the Congress in a timely manner.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The proposed increase will enable the OIG to catch up with the original audit plan and prioritize, schedule, and execute pending *9/11 Commission Act* audits according to the timeline established by Congress. Funding enables the OIG to design the right mix of contracted and in-house services, without stressing its core oversight functions or assets. Averting fraud, waste, and abuse by OIG audits contributes to the Department's goal of maturing and strengthening the Homeland Security enterprise.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
Office of Inspector General  
Justification of Proposed Changes in Audits, Inspections and Investigations  
Appropriation Language**

*For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Act of 1978 (5 U.S.C. App.), \$143,664,000 of which not to exceed \$300,000 may be used for certain confidential operational expenses, including the payment of informants, to be expended at the direction of the Inspector General.*

#### **Explanation of Changes:**

No substantive changes proposed.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**Office of Inspector General**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>668</b>	<b>665</b>	<b>133,464</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>683</b>	<b>676</b>	<b>141,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	400
Annualization of prior year part year funding	-	7	1,320
CIGIE support	-	-	468
GSA rent increase	-	-	262
<b>Total, Increases</b>	-	<b>7</b>	<b>2,450</b>
<b>Decreases</b>	-	-	-
Management Efficiencies	-	-	(1,114)
Outsourcing Efficiency	-	-	(1,237)
<b>Total, Decreases</b>	-	-	<b>(2,351)</b>
<b>Total, Adjustments-to-Base</b>	-	<b>7</b>	<b>99</b>
<b>FY 2013 Current Services</b>	<b>683</b>	<b>683</b>	<b>141,099</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Implementing the Recommendation of the 9/11Commission Act	-	-	2,565
<b>Total, Increases</b>	-	-	<b>2,565</b>
<b>Total, Program Changes</b>	-	-	<b>2,565</b>
<b>FY 2013 Requested Budget Authority</b>	<b>683</b>	<b>683</b>	<b>143,664</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	<b>7</b>	<b>2,664</b>

Note: Includes transfer from FEMA's DRF \$15.968 million in FY 2011 and \$24 million in FY 2012.

## C. Summary of Requirements

**Department of Homeland Security**  
**Office of Inspector General**  
 Summary of Requirements  
 (Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	668	665	133,464
<b>FY 2012 Enacted Budget Authority</b>	683	676	141,000
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	7	2,450
Decreases	-	-	(2,351)
<b>Total, Adjustments-to-Base</b>	-	7	99
<b>FY 2013 Current Services</b>	683	683	141,099
<b>Program Changes</b>	-	-	-
Increases	-	-	2,565
<b>Total, Program Changes</b>	-	-	2,565
<b>FY 2013 Requested Budget Authority</b>	683	683	143,664
<b>FY 2012 to FY 2013 Total Change</b>	-	7	2,664

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Audits, Inspections and Investigations	683	676	141,000	-	7	99	-	-	2,565	683	683	143,664	-	7	2,664
<b>Total</b>	<b>683</b>	<b>676</b>	<b>141,000</b>	<b>-</b>	<b>7</b>	<b>99</b>	<b>-</b>	<b>-</b>	<b>2,565</b>	<b>683</b>	<b>683</b>	<b>143,664</b>	<b>-</b>	<b>7</b>	<b>2,664</b>

Note: Includes transfer from FEMA's DRF \$15.968 million in FY 2011 and \$24 million in FY 2012.

## D. Summary of Reimbursable Resources

**Department of Homeland Security**  
**Office of Inspector General**  
 Summary of Reimbursable Resources  
 (Dollars in Thousands)

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS CFO (CFO Audit)	-	-	18,000	-	-	18,000	-	-	18,000	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>18,000</b>	-	-	<b>18,000</b>	-	-	<b>18,000</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Audit Inspections and Investigations Program	-	-	18,000	-	-	18,000	-	-	18,000	-	-	-
<b>Total Obligations</b>	-	-	<b>18,000</b>	-	-	<b>18,000</b>	-	-	<b>18,000</b>	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**Office of Inspector General**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
12.4 Allowances	998	1,029	1,029	-
12.6 Temp Quarters	258	266	266	-
11.1 Total FTE & personnel compensation	67,588	71,721	73,115	1,394
11.3 Other than full-time permanent	1,904	2,098	2,098	-
11.5 Other personnel compensation	4,877	5,028	5,028	-
11.6 Pay Diff (Sun/Night)	2	2	-	(2)
11.7 Military personnel/Awards	855	915	915	-
12.1 Benefits	24,274	25,631	25,958	327
13.0 Unemployment Compensation	25	26	26	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>100,781</b>	<b>106,716</b>	<b>108,435</b>	<b>1,719</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,439	4,702	3,641	(1,061)
22.0 Transportation of things	98	102	102	-
23.1 GSA rent	12,601	13,288	13,550	262
23.2 Other rent	191	197	197	-
23.3 Communications, utilities, and misc. charges	2,405	2,947	2,443	(504)
24.0 Printing	38	40	40	-
25.1 Advisory and assistance services	2,561	4,055	3,968	(87)
25.2 Other services	772	1,224	934	(290)
25.3 Purchases from Gov't accts.	5,403	7,601	6,038	(1,563)
25.4 O&M of facilities	392	404	404	-
25.7 Operation and maintenance of equipment	781	805	805	-
25.8 Subsistence & Support of persons	15	15	15	-
26.0 Supplies and materials	1,284	1,819	1,336	(483)
31.0 Equipment	1,564	2,201	1,613	(588)
32.0 Land & structures	22	23	23	-
41.0 Grants/Subsidies/Contributions	1	1	1	-
42.0 Insurance Claims and Indemnity	3	3	3	-
91.0 Unvouchered	113	116	116	-
<b>Total, Other Object Classes</b>	<b>32,683</b>	<b>39,543</b>	<b>35,229</b>	<b>(4,314)</b>
<b>Total, Direct Obligations</b>	<b>133,464</b>	<b>146,259</b>	<b>143,664</b>	<b>(2,595)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(5,259)	-	5,259
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(5,259)</b>	-	<b>5,259</b>
<b>Total Requirements</b>	<b>133,464</b>	<b>141,000</b>	<b>143,664</b>	<b>2,664</b>
<b>Full Time Equivalents</b>	<b>665</b>	<b>676</b>	<b>683</b>	<b>7</b>

Note: Includes transfer from FEMA's DRF \$15.968 million in FY 2011 and \$24 million in FY 2012.

## F. Permanent Positions by Grade

### Department of Homeland Security Office of Inspector General Permanent Positions by Grade

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	13	13	13	-
Total, EX	1	1	1	-
GS-15	68	68	68	-
GS-14	152	154	154	-
GS-13	200	208	208	-
GS-12	132	137	137	-
GS-11	37	37	37	-
GS-9	36	36	36	-
GS-8	1	1	1	-
GS-7	22	22	22	-
GS-5	6	6	6	-
<b>Total Permanent Positions</b>	<b>668</b>	<b>683</b>	<b>683</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	322	337	337	-
U.S. Field	346	346	346	-
<b>Total, Office of Inspector General</b>	<b>668</b>	<b>683</b>	<b>683</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>665</b>	<b>676</b>	<b>683</b>	<b>7</b>
Average ES Salary	166,987	166,987	167,822	835
Average GS Salary	93,862	93,862	94,331	469
Average Grade	13	13	13	-



**G. Capital Investment and Construction Initiative Listing**  
**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security**  
**Office of Inspector General**  
**Audits, Inspections and Investigations**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
12.4 Allowances	998	1,029	1,029	-
12.6 Temp Quarters	258	266	266	-
11.1 Total FTE & personnel compensation	67,588	71,721	73,115	1,394
11.3 Other than full-time permanent	1,904	2,098	2,098	-
11.5 Other personnel compensation	4,877	5,028	5,028	-
11.6 Pay Diff (Sun/Night)	2	2	-	(2)
11.7 Military personnel/Awards	855	915	915	-
12.1 Benefits	24,274	25,631	25,958	327
13.0 Unemployment Compensation	25	26	26	-
<b>Total, Personnel and Compensation Benefits</b>	<b>100,781</b>	<b>106,716</b>	<b>108,435</b>	<b>1,719</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,439	4,702	3,641	(1,061)
22.0 Transportation of things	98	102	102	-
23.1 GSA rent	12,601	13,288	13,550	262
23.2 Other rent	191	197	197	-
23.3 Communications, utilities, and misc. charges	2,405	2,947	2,443	(504)
24.0 Printing	38	40	40	-
25.1 Advisory and assistance services	2,561	4,055	3,968	(87)
25.2 Other services	772	1,224	934	(290)
25.3 Purchases from Gov't accts.	5,403	7,601	6,038	(1,563)
25.4 O&M of facilities	392	404	404	-
25.7 Operation and maintenance of equipment	781	805	805	-
25.8 Subsistence & Support of persons	15	15	15	-
26.0 Supplies and materials	1,284	1,819	1,336	(483)
31.0 Equipment	1,564	2,201	1,613	(588)
32.0 Land & structures	22	23	23	-
41.0 Grants/Subsidies/Contributions	1	1	1	-
42.0 Insurance Claims and Indemnity	3	3	3	-
91.0 Unvouchered	113	116	116	-
<b>Total, Other Object Classes</b>	<b>32,683</b>	<b>39,543</b>	<b>35,229</b>	<b>(4,314)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(5,259)	-	5,259
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(5,259)</b>	<b>-</b>	<b>5,259</b>
<b>Total Requirements</b>	<b>133,464</b>	<b>141,000</b>	<b>143,664</b>	<b>2,664</b>
<b>Full Time Equivalents</b>	<b>665</b>	<b>676</b>	<b>683</b>	<b>7</b>

**Audits, Inspections and Investigations Mission Statement**

The OIG is responsible for conducting and supervising audits, investigations, and inspections relating to the programs and

operations of DHS, recommending ways for the Department to carry out its responsibilities in the most effective, efficient, and economical manner possible. The OIG serves as an independent body to deter, identify and address fraud, abuse, mismanagement, and waste in DHS programs and operations.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	67,588	71,721	73,115	1,394
11.3 Other than full-time permanent	1,904	2,098	2,098	-
11.5 Other personnel compensation	4,877	5,028	5,028	-
11.6 Pay Diff (Sun/Night)	2	2	-	(2)
11.7 Military personnel/Awards	855	915	915	-
12.1 Benefits	24,274	25,631	25,958	327
13.0 Unemployment Compensation	25	26	26	-
<b>Total, Salaries &amp; Benefits</b>	<b>99,525</b>	<b>105,421</b>	<b>107,140</b>	<b>1,719</b>

Salaries and Benefits include costs for 683 FTE. The request includes an increase of \$1.320 million for the annualization of prior year part year funded FTE and \$0.40 million for FY 2013 pay increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$4,439</b>	<b>\$4,702</b>	<b>\$3,641</b>	<b>-\$1,061</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects reduced travel needs for the OIG after incorporating the management efficiencies' savings.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$12,601</b>	<b>\$13,288</b>	<b>\$13,550</b>	<b>\$262</b>

GSA Rent includes all payments to GSA for rental of space and rent related services. The FY 2013 request reflects the need for space to assign new FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$2,405</b>	<b>\$2,947</b>	<b>\$2,443</b>	<b>-\$504</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects communication, utilities, and miscellaneous charges after management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$2,561</b>	<b>\$4,055</b>	<b>\$3,968</b>	<b>-\$87</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects the anticipated advisory and assistance services needs of the OIG.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$772	\$1,224	\$934	-\$290

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects the anticipated expenses for other services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$5,403	\$7,601	\$6,038	-\$1,563

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects the anticipated purchase needs of the OIG including \$0.468 million to support CIGIE and savings from outsourcing efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$1,284	\$1,819	\$1,336	-\$483

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request reflects the anticipated needs of the OIG for supplies and materials

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$1,564	\$2,201	\$1,613	-\$588

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects the anticipated needs of the OIG for equipment.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>632</b>	<b>665</b>	<b>676</b>
<b>Increases</b>			
Program Changes	33	11	7
<b>Subtotal, Increases</b>	<b>33</b>	<b>11</b>	<b>7</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>665</b>	<b>676</b>	<b>683</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>33</b>	<b>11</b>	<b>7</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Audits, Inspections and Investigations	\$885	\$1,001	\$1,870	\$869
<b>Total Working Capital Fund</b>	<b>885</b>	<b>1,001</b>	<b>1,870</b>	<b>869</b>

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

## *U.S. Customs and Border Protection Budget Overview*

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Fiscal Year 2013  
Congressional Justification



## i. Summary of FY Budget Estimates by Appropriation without Emergency Funding

**Department of Homeland Security**  
**Customs and Border Protection**  
 Summary of FY 2013 Budget Estimates by Appropriation  
 Total Appropriations  
 (Dollars in Thousands)

Budget Activity	FY 2011		FY 2012		FY 2013		Increase (+) or Decrease (-) For FY 2013					
	Actual Obligations		Enacted Budget Authority		Requested Budget Authority		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salary and Expenses	50,667	8,464,668	53,249	8,680,118	53,702	9,010,581	453	330,463	(233)	(131,065)	686	461,528
Automation Modernization	63	391,352	63	334,275	63	327,526	-	(6,749)	-	5,000	-	(11,749)
Border Security Fencing, Infrastructure, and Technology:	205	446,864	205	400,000	-	327,099	(205)	(72,901)	-	141,765	(205)	(214,666)
Air and Marine Operations	-	627,366	-	503,966	-	435,769	-	(68,197)	-	72,782	-	(140,979)
Facilities Management Program	-	487,305	219	236,596	243	243,666	24	7,070	-	(9,144)	24	16,214
Small Airports	69	6,247	69	8,167	69	8,318	-	151	-	-	-	151
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>51,004</b>	<b>10,423,802</b>	<b>53,805</b>	<b>10,163,122</b>	<b>54,077</b>	<b>10,352,959</b>	<b>272</b>	<b>189,837</b>	<b>(233)</b>	<b>79,338</b>	<b>505</b>	<b>110,499</b>
COBRA	1,683	411,682	1,683	494,937	1,683	529,352	-	34,415	-	34,415	-	-
Land Border Inspection	234	33,481	234	35,300	234	35,935	-	635	-	-	-	635
Immigration Enforcement Fines	2	201	2	1,041	2	1,093	-	52	-	-	-	52
Puerto Rico Trust Fund	297	84,717	297	94,662	297	96,367	-	1,705	-	-	-	1,705
Immigration User Fee	2,706	468,390	2,706	558,734	2,706	568,790	-	10,056	-	-	-	10,056
Animal & Plant Health Inspection Services (APHIS)	2,134	317,985	2,134	324,876	2,134	329,000	-	4,124	-	-	-	4,124
ESTA	27	31,441	27	45,500	27	46,318	-	818	-	-	-	818
Global Entry	-	3,551	-	13,500	-	13,743	-	243	-	243	-	-
<b>Subtotal, Fees/Mandatory</b>	<b>7,083</b>	<b>1,351,448</b>	<b>7,083</b>	<b>1,568,550</b>	<b>7,083</b>	<b>1,620,598</b>	<b>-</b>	<b>52,048</b>	<b>-</b>	<b>34,658</b>	<b>-</b>	<b>17,390</b>
<b>Total, Enacted Appropriations and Budget Estimates</b>	<b>58,087</b>	<b>11,775,250</b>	<b>60,888</b>	<b>11,731,672</b>	<b>61,160</b>	<b>11,973,557</b>	<b>272</b>	<b>241,885</b>	<b>(233)</b>	<b>113,996</b>	<b>505</b>	<b>127,889</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
 Homeland and Non-Homeland Allocation by Program/Projects Activity  
 (Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total <sup>1</sup>		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total <sup>1</sup>	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Salaries and Expenses</b>	42,267	\$7,151,382	8,400	\$1,313,286	50,667	\$8,464,668	44,272	\$7,327,854	8,977	\$1,352,264	53,249	\$8,680,118	44,692	\$7,639,884	9,010	\$1,370,697	53,702	\$9,010,581
Headquarters Management and Administration	3,841	1,247,457	731	237,611	4,572	1,485,068	3,869	1,569,836	737	299,016	4,606	1,868,852	3,940	1,580,823	750	301,108	4,690	1,881,931
MA Border Security Inspections and Trade Facilitation	1,918	423,641	365	80,694	2,283	504,335	1,922	560,947	366	106,847	2,288	667,794	1,958	505,188	373	96,226	2,331	601,414
MA Border Security and Control between Ports of Entry	1,923	440,933	366	83,987	2,289	524,920	1,947	602,540	371	114,769	2,318	717,309	1,982	559,143	377	106,503	2,359	665,646
Rent	-	382,883	-	72,930	-	455,813	-	406,349	-	77,400	-	483,749	-	516,492	-	98,379	-	614,871
Border Security Inspections and Trade Facilitation	14,300	1,982,858	7,042	976,633	21,342	2,959,491	15,445	1,945,520	7,608	958,241	23,053	2,903,761	15,515	1,983,439	7,643	976,919	23,158	2,960,358
Inspections Trade and Travel Facilitation	13,502	1,703,086	6,650	838,834	20,152	2,541,920	14,668	1,664,437	7,225	819,798	21,893	2,484,235	14,717	1,662,052	7,249	818,622	21,966	2,480,674
Harbor Maintenance Fee Collection (Trust Fund)	-	2,161	-	1,065	-	3,226	-	2,194	-	1,080	-	3,274	-	2,201	-	1,084	-	3,285
International Cargo Screening	285	71,651	141	35,291	426	106,942	247	49,953	121	24,604	368	74,557	247	47,928	121	23,606	368	71,534
Other international programs	40	8,101	19	3,990	59	12,091	48	7,158	24	3,526	72	10,684	48	18,146	24	8,938	72	27,084
C-TPAT	181	29,828	89	14,692	270	44,520	163	30,136	81	14,843	244	44,979	163	26,855	81	13,227	244	40,082
Trusted Traveler Programs (TTP)	-	7,203	-	3,547	-	10,750	-	4,228	-	2,083	-	6,311	-	4,228	-	2,083	-	6,311
Inspection and Detection Technology	33	93,699	16	46,150	49	139,849	34	99,520	16	49,017	50	148,537	34	78,775	16	38,800	50	117,575
Systems for Targeting	24	21,692	12	10,684	36	32,376	21	27,738	11	13,662	32	41,400	21	76,263	11	37,563	32	113,826
National Targeting Center	226	31,564	111	15,547	337	47,111	241	34,807	118	17,143	359	51,950	262	43,635	129	21,492	391	65,127
Training at the Ports of Entry	9	13,873	4	6,833	13	20,706	23	25,349	12	12,485	35	37,834	23	23,356	12	11,504	35	34,860
Border Security and Control between Ports of Entry	22,854	3,719,981	-	-	22,854	3,719,981	23,675	3,619,604	-	-	23,675	3,619,604	23,646	3,625,950	-	-	23,646	3,625,950
Border Security Control	22,683	3,683,893	-	-	22,683	3,683,893	23,306	3,530,994	-	-	23,306	3,530,994	23,277	3,551,840	-	-	23,277	3,551,840
Training Between the Ports of Entry	171	36,088	-	-	171	36,088	369	88,610	-	-	369	88,610	369	74,110	-	-	369	74,110
Air and Marine Operations Personnel Compensation and Benefits	1,272	201,086	627	99,042	1,899	300,128	1,283	192,894	632	95,007	1,915	287,901	1,253	188,149	617	92,670	1,870	280,819
US VISIT	-	-	-	-	-	-	-	-	-	-	-	-	338	261,523	-	-	338	261,523
<b>Automation Modernization:</b>	32	195,676	31	195,676	63	391,352	32	167,138	31	167,138	63	334,275	32	163,763	31	163,763	63	327,526
ACE TIDS	31	96,874	31	96,874	62	193,749	31	70,000	31	70,000	62	140,000	31	70,397	31	70,397	62	140,794
Critical Operations Protection and Processing Support	1	98,802	-	98,802	1	197,603	1	97,138	-	97,138	1	194,275	1	93,366	-	93,366	1	186,732
<b>Border Security Fencing, Infrastructure, and Technology:</b>	205	446,864	-	-	205	446,864	205	400,000	-	-	205	400,000	-	327,099	-	-	-	327,099

Program Management	205	80,323	-	-	205	80,323	205	54,375	-	-	205	54,375	-	-	-	-	-	-
Operations and Maintenance	-	173,367	-	-	-	173,367	-	133,248	-	-	-	133,248	-	138,283	-	-	-	138,283
Development and Deployment	-	193,174	-	-	-	193,174	-	212,377	-	-	-	212,377	-	188,816	-	-	-	188,816
<b>Air and Marine Interdiction:</b>	-	420,335	-	207,031	-	627,366	-	337,657	-	166,309	-	503,966	-	291,965	-	143,804	-	435,769
Operations and maintenance	-	288,972	-	142,329	-	431,301	-	244,608	-	120,479	-	365,087	-	247,095	-	121,704	-	368,799
Procurement	-	131,363	-	64,702	-	196,065	-	93,049	-	45,830	-	138,879	-	44,870	-	22,100	-	66,970
<b>Facilities Management</b>	-	487,305	-	-	-	487,305	219	236,596	-	-	219	236,596	243	243,666	-	-	243	243,666
Facility Construction and Sustainment	-	427,358	-	-	-	427,358	-	182,500	-	-	-	182,500	-	186,214	-	-	-	186,214
Program Oversight and Management	-	59,947	-	-	-	59,947	219	54,096	-	-	219	54,096	243	57,452	-	-	243	57,452
<b>Fee accounts:</b>	7,152	1,438,160	-	-80,465	7,152	1,357,695	7,152	1,576,717	-	-	7,152	1,576,717	7,152	1,628,917	-	-1	7,152	1,628,916
Electronic System for Travel Authorization Fee	27	31,441	-	-	27	31,441	27	45,500	-	-	27	45,500	27	46,318	-	-	27	46,318
Immigration inspection user fee	2,706	548,855	-	-80,465	2,706	468,390	2,706	558,734	-	-	2,706	558,734	2,706	568,791	-	-1	2,706	568,790
Immigration enforcement fines	2	201	-	-	2	201	2	1,041	-	-	2	1,041	2	1,093	-	-	2	1,093
Land border inspection fee	234	33,481	-	-	234	33,481	234	35,300	-	-	234	35,300	234	35,935	-	-	234	35,935
COBRA passenger inspection fee	1,683	411,682	-	-	1,683	411,682	1,683	494,937	-	-	1,683	494,937	1,683	529,352	-	-	1,683	529,352
APHIS User Fees	2,134	317,985	-	-	2,134	317,985	2,134	324,876	-	-	2,134	324,876	2,134	329,000	-	-	2,134	329,000
Puerto Rico Trust Fund	297	84,717	-	-	297	84,717	297	94,662	-	-	297	94,662	297	96,367	-	-	297	96,367
Small Airport User Fee	69	6,247	-	-	69	6,247	69	8,167	-	-	69	8,167	69	8,318	-	-	69	8,318
Global Entry User Fees	-	3,551	-	-	-	3,551	-	13,500	-	-	-	13,500	-	13,743	-	-	-	13,743
<b>Total</b>	<b>49,656</b>	<b>10,139,722</b>	<b>8,431</b>	<b>1,635,528</b>	<b>58,087</b>	<b>11,775,250</b>	<b>51,880</b>	<b>10,045,962</b>	<b>9,008</b>	<b>1,685,710</b>	<b>60,888</b>	<b>11,731,672</b>	<b>52,119</b>	<b>10,295,294</b>	<b>9,041</b>	<b>1,678,263</b>	<b>61,160</b>	<b>11,973,557</b>

### iii. Status of Congressional Requested Studies, Reports, and Evaluations

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2008	1/31/2011	FY 2008 Appropriations Act, Section 603/604  (Omnibus 110-497 Sec 603 and 604; Conference Rpt., Sec 603 and 604, Pg 131)	<b>National Land Border Security Plan</b> – CBP, in consultation with other appropriate Federal agencies, State and local law enforcement agencies, and private entities that are involved in international trade across the Northern or Southern border to prepare and submit a National Land Border Security Plan that shall include a vulnerability, risk, and threat assessment of each port of entry located on the Northern border or the Southern border, on a bi-annual basis (on January 31st). Additionally, CBP, in consultation with GSA, will submit an update on the assessment of infrastructure needs of all land ports of entry.	Report is being reviewed by DHS
2006	10/7/2011	Security and Accountability For Every Port Act (P.L. 109-347), Section 232	<b>Full-Scale Implementation of Pilot Scanning System (Update 7)</b> – Within 6 months after initial report on full-scale implementation of pilot scanning system is submitted (pursuant to Section 231(d)) (which is due to Congress on 4/23/09) and EVERY SIX MONTHS THEREAFTER, the Secretary shall submit a report describing the status of full-scale deployment under subsection (b) and the cost of deploying the system at each foreign port at which the integrated scanning systems are deployed.	Report is being reviewed by DHS
2010	11/14/2011	FY 2010 Appropriations Act  (Conference HR 111-298; SR 111-31)	<b>Cross-Border Tunnels (FY 2011 Quarters 3 and 4)</b> – The Committee directs the Department to provide semiannual reports on the number of tunnels discovered, their location and demolition, all activities undertaken to prosecute individuals under the Border Tunnel Prevention Act, funding requirements, and the progress made in developing and implementing detection methods used to discover new tunnels. Finally, the Committee directs the Department to designate a border tunnel coordinator to manage border tunnel activities, serve as liaison to State and local law enforcement, and advise Congress on border tunnel issues.	Report is being reviewed by DHS
2008	12/23/2011	FY 2008 Omnibus Appropriations Act, Section 605	<b>POE Technology Demonstration</b> – Not later than 1 year after the date of the enactment of this Act, and annually thereafter, the Secretary shall submit to the Committees on Appropriations of the Senate and the House of Representatives, the Senate Committee on Environment and Public Works, the Senate Committee on Homeland Security and Governmental Affairs, the House Committee on Transportation and Infrastructure, and the House Committee on Homeland Security a report on the activities carried out at each demonstration site under the technology demonstration program established under this section and include an assessment by the Commissioner of the feasibility of incorporating any demonstrated technology for use throughout U.S. Customs and Border Protection.	Report is being reviewed by OMB

2012	2/1/2012	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; House Report 112-91)	<b>Circumvention of Customs Duties - Imports from China --</b> CBP must submit a report on the extent and frequency of customs fraud, including circumvention of duties and misclassification on entries of imports of goods from China. This report should include information covering enforcement activities, numbers of seizures, penalties imposed, the numbers and types of personnel responsible (including interagency collaboration for enforcing laws), and estimated costs to reduce substantially the incidence of illegal transshipments.	Report is being drafted or reviewed by CBP
2012	2/13/12 Alongside FY 2013 Budget Submission	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; Consolidated Report HR 112-331; House Report 112-91)	<b>FY 2012 Real Property Inventory Plan --</b> The Commissioner must submit annually an inventory of the real property of CBP and a plan that includes the full costs of each activity and project proposed and underway in fiscal year 2013, listed by fiscal year.	Report is being drafted or reviewed by CBP
2009	2/13/12 Alongside FY 2013 Budget Submission	FY 2009 Appropriations Act (P.L. 110-329, HR 2638 Div D, pg 85)  Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; Senate Report 112-74)	<b>FY 2012 LPOE Modernization 5-Year Plan (FYs 2013-2018) --</b> CBP shall, in consultation with GSA, include a detailed 5-year plan for all Federal land border port of entry projects with a yearly update of total projected future funding needs. This reporting requirement was supposed to be included in the FY 2010 Budget Submission, but was taken out by OMB after the American Recovery and Reinvestment Act of 2009 changed the expenditure amount and thus the reporting requirement.	Report is being reviewed by DHS
2012	2/13/12 Alongside FY 2013 Budget Submission	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; House Report 112-91)	<b>Textile Transshipment Enforcement FY 2012 --</b> CBP must submit a report with the FY 2013 budget on execution of its 5-year strategic plan. The report should include information covering enforcement activities; textile production verification team exercises and special operations; numbers of seizures; penalties imposed; and the numbers and types of personnel responsible for enforcing textile laws (including headquarters staff in the Textile Enforcement Operations Division).	Report is being reviewed by DHS
2012	2/13/12 Alongside FY 2013 Budget Submission	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; House Report 112-91)	<b>Multi-Year Plan for Automation Modernization --</b> CBP must submit a multi-year investment and management plan for all appropriated funds from all sources executed by OIT to provide a full picture of CBP's information technology activities. This report should fully justify requested funds for this account as well as project future-year requirements and funding levels, and it should include: (1) the proposed appropriations included for each project and activity tied to mission requirements, program management capabilities, performance levels, and specific capabilities and services to be delivered; (2) the total estimated cost and projected timeline of completion for all multi-year enhancements, modernizations, and new capabilities proposed in such budget or underway; (3) a detailed accounting of operations and maintenance and contractor services costs; and (4) current acquisition program baselines for the ACE and TECS Modernization respectively, that explains any deviations in cost, performance parameters, schedule, or estimated date of completion from the original acquisition program baseline; aligns acquisition programs to mission requirements by defining existing capabilities, identifying known capability gaps, and explaining how each increment will address such known capability gaps; and defines life-cycle costs for these programs.	Report is being drafted or reviewed by CBP

2012	2/13/12 Alongside FY 2013 Budget Submission	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; Consolidated Report HR 112-331; House Report 112-91; Senate Report 112-74)	<b>BSFIT FY 2013-FY 2016 Multi-Year Investment and Management Plan -- CBP</b> must submit a multi-year investment and management plan for the BSFIT account that includes for each tactical infrastructure and technology deployment (1) the funding level in that budget and projected funding levels for each of the next 3 fiscal years, including a description of the purpose of such funds; (2) the deployment plan, by border segment, that aligns each deployment to mission requirements by defining existing capabilities, identifying known capability gaps between such existing capabilities and stated mission requirements related to achieving operational control, and explaining how each tactical infrastructure or technology deployment will address such known capability gaps; and (3) a current acquisition program baseline that explains any deviations in cost, performance parameters, schedule, or estimated date of completion from the most recent acquisition program baseline approved by the DHS Acquisition Review Board, includes a phase-out and life-cycle recapitalization schedule delineated by fiscal year for existing and new tactical infrastructure and technology deployments that each deployment is intended to replace or recapitalize, and includes qualitative performance metrics that assess the effectiveness of new and existing tactical infrastructure and technology deployments and inform the next multi-year investment and management plan related to achieving operational control of the Northern and Southwest borders of the United States.	Report is being drafted or reviewed by CBP
2012	2/13/12 Alongside FY 2013 Budget Submission	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; Consolidated Report HR 112-331; House Report 112-91)	<b>Inspection and Detection Multi-Year Investment and Management Plan -- CBP</b> must submit a multi-year investment and management plan for inspection and detection technology supporting operations under this heading, including all NII and radiation detection technology, that provides (1) the funding level for all inspection and detection technology equipment by source; (2) the inventory of inspection and detection technology equipment by type and age; (3) the proposed appropriations for procurement of inspection and detection technology equipment by type, including quantity, for deployment, and for operations and maintenance; (4) projected funding levels for procurement of inspection and detection technology equipment by type, including quantity, for deployment, and for operations and maintenance for each of the 3 subsequent fiscal years; and (5) a current acquisition program baseline that aligns the acquisition of each technology to mission requirements (by defining existing capabilities of comparable legacy technology assets, identifying known capability gaps between such existing capabilities and stated mission requirements, and explaining how the acquisition of each technology will address such known capability gaps), defines life-cycle costs for each technology (including all associated costs of major acquisitions systems infrastructure and transition to operations) delineated by purpose and fiscal year for the projected service life of the technology, and includes a phase-out and decommissioning schedule delineated by fiscal year for existing legacy technology assets that each technology is intended to replace or recapitalize.	Report is being drafted or reviewed by CBP

2012	2/14/2012	Customs Border Security Act of 2002, sec. 311(a) and FY 2011 Appropriation Act	<b>Automated Commercial Environment Quarter 1 FY 2012</b> – The Committee directs the Department to submit the ACE quarterly progress reports on time and no later than 45 days after the close of each quarter. The report discusses the progress of ACE implementation, including goals, benefits, desired outcomes, and performance metrics.	Report is being reviewed by DHS
2012	2/15/2012	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; Senate Report 112-74; House Report 112-91)	<b>Resource Optimization at the POEs</b> -- CBP must update its POE staffing model with a particular emphasis on staffing requirements reflecting both the new and renovated POEs that have been brought online, as well as the increase in cross-border commercial and passenger traffic as the economy improves.	Report is being reviewed by DHS
2012	2/15/2012	Consolidated Appropriations Act of FY 2012 (Joint Explanatory Statement, Division D; Senate Report 112-74)	<b>Improving the Entry Process for Visitors to the United States</b> -- CBP must submit a report on the programs and actions it has taken to improve the entry process experience for travelers, including customer service. The report should include (1) how CBP and DHS have implemented the recommendations proposed by the Secure Borders and Open Doors Advisory Committee, such as the International Registered Traveler program, the Model Ports of Entry program, and the Global Entry Program; (2) the training CBP officers are provided regarding “welcoming” visitors, including aspects of courtesy and customer service, as well as any reasons why officers should not be provided such instruction; and (3) a detailed explanation of how these existing programs have reduced wait times, how much money has been directed to these improved entry programs for each of FYs 2008–2011, and how funds provided in FY 2012 will be used to continue and expand these and other programs.	Report is being drafted or reviewed by CBP
2012	2/21/2012 Per legislation, due date is pushed back to 2/21/12 since the original deadline had passed before enactment.	Consolidated Appropriations Act of FY 2012 (House Report 112-91)	<b>CBP Unobligated Balances Quarterly Report (FY 2012 Quarter 1)</b> -- The Committee directs CBP must report quarterly on the results of its own quarterly reviews of obligations in carryover accounts that should be de-obligated through its validation and verification process, pursuant to CBP Directive 1220–011C.	Report is being drafted or reviewed by CBP
2012	2/21/2012 Per legislation, due date is pushed back to 2/21/12 since the original deadline had passed before enactment.	Consolidated Appropriations Act of FY 2012 (House Report 112-91)	<b>User Quarterly Fees (FY 2012 Quarter 1)</b> -- The Secretary must continue to submit quarterly reports on user fees, and to include in the briefings the status of collections and steps taken to mitigate shortfalls in expected collections.	Report is being drafted or reviewed by CBP

2012	2/21/2012 Per legislation, due date is pushed back to 2/21/12 since the original deadline had passed before enactment.	Consolidated Appropriations Act of FY 2012 (House Report 112-91)	<b>CBP Staffing and Hiring (January submission)</b> -- CBP must continue submitting monthly staffing and hiring reports, including the status of hiring for the Northern and Southwest borders.	Report is being drafted or reviewed by CBP
2012	2/21/2012 60 days after enactment	Consolidated Appropriations Act of FY 2012 (House Report 112-91)	<b>Automation Modernization Expenditure Plan (FY 2012)</b> -- CBP must submit an ACE expenditure plan for fiscal year 2012, including a current acquisition project baseline for ACE and TECS Modernization.	Report is being drafted or reviewed by CBP
2012	2/21/2012 60 days after enactment	Consolidated Appropriations Act of FY 2012 (Consolidated Report HR 112-331; Seante Report 112-74; House Report 112-91)	<b>ACE Expenditure Plan for FY 2012</b> -- CBP must submit an expenditure plan for the ACE program including results to date, plans for the program, and a list of projects with associated funding from prior appropriations and provided by this Act. The report should include a current acquisition project baseline for ACE and TECS Modernization as well as CBP's progress in implementing ITDS, with regard to the technical features of ITDS as well as the recruitment of all participating government agencies.	Report is being reviewed by DHS
2010	30 days after distributions	FY 2010 Appropriations Act (Conference HR 111-298; SR 111-31); NAFTA Implementation Act, P.L. 103-182 (H.R. 3450, sec. 691)	<b>Annual ADCVD Enforcement Actions and Compliance Initiatives for FY 2011</b> -- CBP is directed to continue to work with the Departments of Commerce and Treasury, and the Office of the United States Trade Representative (and all other relevant agencies) to increase collections, and provide a public report on an annual basis, within 30 days of each year's distributions under the law. The report should summarize CBP's efforts to collect past due amounts and increase current collections, particularly with respect to cases involving unfairly traded U.S. imports from China. The report shall provide the amount of uncollected duties for each antidumping and countervailing duty order, and indicate the amount of open, unpaid bills for each such order. In that report, the Secretary of Homeland Security, in consultation with other relevant agencies, including the Secretaries of Treasury and Commerce, should also advise as to whether CBP can adjust its bonding requirements to further protect revenue without violating U.S. law or international obligations, and without imposing unreasonable costs upon importers.	Report is being drafted or reviewed by CBP



**iv. Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security  
Customs and Border Protection**

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

Budget Activity	Last Year of Authorization	Authorized Level		Appropriated in Last Year of Authorization		FY 2013 Request
	Fiscal Year	Amount		Amount		Amount
<b>Salaries and Expenses</b>	2003	3,083,259	/1	3,195,094	/2	<b>9,010,581</b>
<b>Automation Modernization</b>	2011 <sup>3</sup>	N/A		N/A		<b>327,526</b>
<b>Border Security Fencing, Infrastructure, and Technology<sup>3</sup></b>	N/A	N/A		N/A		<b>327,099</b>
<b>Air and Marine Interdiction, Operations, Maintenance, and Procurement</b>	2011 <sup>4</sup>	N/A		N/A		<b>435,769</b>
<b>Facilities Management</b>	2011 <sup>5</sup>	N/A		N/A		<b>243,666</b>
<b>Total Direct Authorization/Appropriation</b>		<b>3,083,259</b>		<b>3,195,084</b>		<b>10,344,641</b>

<sup>1</sup> For FY 2004, P.L. 107-210, section 311(b)(1) authorized \$1,683,667,050 for Commercial Activities and section 311(a)(2) authorized \$1,399,592,400 for non-Commercial Activities; in FY 2002 “Such Sums” were authorized for Agriculture, Plant and Health Inspection Service, which received \$730,710,000 in appropriations; and in FY 2003 \$2,739,695,000 was authorized for Immigration and Naturalization Service – inspection, investigations, Border Patrol, detention and deportation only, and \$3,195,094 was appropriated as follows: \$2,862,094,000 for FY 2003 INS Salaries and Expenses appropriation, and \$333,000,000 for FY 2003 Wartime Supplemental Appropriations Act, P.L. 108-11. P.L. 109-347, for FY 2010: section 203(g)(3) \$37,485,000 for “Automated Targeting System”, and section 205(m) (3) \$153,300,000 for the Container Security Initiative. P.L. 109-347, for FY 2011, section 223(b)(5) \$20,000,000 for Customs-Trade Partnership Against Terrorism; and 19 U.S.C. 2075, as amended, section 301(h)(3)(D) for up to 1000 additional Customs and Border Protection Officers, \$165,000,000.

<sup>2</sup> Total for Salaries and Expenses, including for unauthorized activities such as immigration inspection and enforcement, Border Patrol, air and marine enforcement operations, and agriculture inspections.

<sup>3</sup> Authorized in the Full Year Continuing Appropriations Act, 2011 – it has been authorized by appropriation since at least 2002

<sup>4</sup> Authorized in the Full Year Continuing Appropriations Act, 2011 – it has been authorized by appropriation since at least 2002.

<sup>5</sup> Authorized in the Full Year Continuing Appropriations Act, 2011 – Authorized by appropriation since at least 2002. Covers multiple authorized programs.

# Department of Homeland Security

*U.S. Customs and Border Protection  
Salaries and Expenses*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Customs and Border Protection Salaries and Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and expenses:**

As the frontline border agency in the U.S. Department of Homeland Security (DHS), U.S. Customs and Border Protection (CBP) has the dual mission of preventing suspected terrorists and terrorist weapons from entering the United States, while also facilitating the flow of legitimate trade and travel into and out of the United States. CBP ensures that all persons and cargo enter the United States legally and safely through official checkpoints and ports of entry (POE).

The Salaries and Expenses appropriation funds all operating costs associated with CBP's accomplishment of its dual mission. This appropriation supports all six CBP Lines of Business (LOBs): (1) Securing America's Borders; (2) Securing and Facilitating Flows of Cargo; (3) Securing and Facilitating Flows of People; (4) Intelligence and Targeting; (5) Mission Support and (6) Enterprise Business Services, which comprise portfolios of similar programs, projects and activities (PPAs).

CBP achieves its mission using a combination of advanced information, risk assessment, appropriate scanning and other technologies, and by partnering with Federal, state, local, tribal and foreign law enforcement agencies as well as private industry and international partners. CBP's approximately 61,000 highly-trained employees ensure that the agency performs its mission with vigilance, integrity and professionalism.

#### **B. Budget Activities:**

##### Headquarter Management and Administration

The Headquarters Management and Administration activities provide critical policy and operational direction, mission support, including equipment, training, and technical expertise to CBP frontline personnel. This PPA supports all six CBP Lines of Business.

##### Border Security Inspections and Trade Facilitation at the Ports of Entry

The Inspections, Trade, and Travel Facilitation at the Ports of Entry program also supports all six CBP Lines of Business. CBP uses resources within this PPA to mitigate the threat of terrorists' instruments of terror and contraband from entering the U.S. while facilitating the legal flow of people and trade by deploying CBP officers (CBPO) to the POEs. CBP achieves its mission in this area using a combination of technology, intelligence, risk information, targeting, and international cooperation to screen inbound international cargo and travelers and, in targeted border areas, to screen departing export cargo. Additional attention to outbound travel along areas of the Southwest border also helps prevent the exit of money and weapons for illegal purposes.

The ultimate goal of the Inspections, Trade, and Travel Facilitation at the Ports of Entry program is to protect the U.S. while improving compliance with trade regulations and other mandatory import/export guidance. CBP has extended its zone of security beyond its physical borders through the use of bilateral and private-sector partnerships, targeting, and by scrutinizing advance information on people and products coming into this country. CBP is cultivating “smart borders” through the use of technology, has established a layered defense strategy and created a unified, recognizable presence at the border to combine and capitalize on the authorities and skills of our diverse workforce.

#### Border Security and Control Between the Ports of Entry

The Border Security and Control between the Ports of Entry PPA supports the following Line of Business (LOB): LOB 1, Securing America’s Borders. LOB 1 reflects CBP’s core mission area of securing the border and preventing contraband, illegal migrants, terrorists and terrorist weapons from entering the U.S. This PPA includes funding for the people that perform the mission as well as equipment that they use; the air platforms, marine assets, and technology associated with LOB1 are funded by other Appropriations. The subprograms that comprise the LOB are organized geographically (i.e., Northern Border, Southwest Border, Coastal and Source & Transit Zone), given the distinct threat environments of each.

A national strategy that consists of five objectives has been established to achieve the mission of the Border Security and Control between the Ports of Entry PPA: (1) Establish a substantial probability of apprehending terrorists and their weapons as they attempt to enter illegally between the POEs; (2) Deter illegal entries through improved enforcement; (3) Detect, apprehend, and deter smugglers of humans, drugs and other contraband; (4) Leverage Smart Border Technology to multiply the effect of enforcement personnel; and (5) Reduce crime in border communities and consequently improve the quality of life and economic vitality of targeted areas. The National Border Patrol Strategy requires increasing national security by augmenting enforcement resources along the Northern and Southwest Border. The proper balance in the deployment of personnel, equipment, intelligence, support, technology, and infrastructure is critical to border security. Reducing vulnerability to the entry of terrorists, illegal aliens and drugs by increasing personnel and resources, is the key to the successful implementation of this strategy.

#### CBP Air and Marine – Salaries

The CBP Air and Marine Salaries PPA supports LOB 1, Securing America’s Borders. and contains funding for staff of approximately 1,900 Air Interdiction agents/pilots, Marine Enforcement officers, operational support, and administrative positions. This PPA funds enhancement of staff skills and expertise to enable deterrence, interdiction, and prevention of acts of terrorism arising from unlawful movement of people and goods across the borders of the U.S.

#### **C. Budget Request Summary:**

CBP requests 53,897 positions, 53,702 FTEs, and \$9,010.581 million for Salaries and Expenses in FY 2013, of which 351 positions, 338 FTEs, and \$261.5 million represents a transfer from National Protection and Programs Directorate (NPPD) for the United States Visitor and Immigration Status Indicator Technology (US-VISIT). In total, this represents a change of 299 positions, 453 FTE and \$330.463 million from FY 2012 to FY 2013.

In FY 2013, CBP is submitting a legislative proposal to Congress concerning “Alternative Sources of Financing: Reimbursement Authority for Enhanced CBP Services.” This legislative proposal would authorize the CBP Commissioner to approve requests from interested parties to reimburse CBP for enhanced inspectional activities.

**Program Transfer:**

Transfer of US-VISIT - The requested funding of \$261.523 million and 338 FTEs reflects the proposed transfer of US-VISIT to CBP and the sustainment of US-VISIT mission and mission support capabilities. CBP would assume responsibility for the core US-VISIT operations and the management of the biometric and biographic information storage and matching and watchlist management services, and ICE will assume responsibility of the US-VISIT overstay analysis services.

**Program Increases:**

CBP is requesting increases to the Automated Targeting System in recognition of its mission effectiveness and function as a force multiplier. Given the realities of the Budget Control Act to limit the growth of the Federal government, CBP is looking to other investments that will bring tools and information to improve the efficiency of CBP’s existing workforce. A number of additional investments in the President’s FY 2013 Budget are targeted toward this purpose and, while relatively small, will help improve the effectiveness of CBP officers and Border Patrol agents. These include enhancements for Intellectual Property Right enforcement, Centers for Excellence and Expertise, and Video Awareness from Mobile Assets. A full listing of CBP’s Program increases is as follows:

Automated Targeting Systems (ATS) Operations & Maintenance (O&M) – The requested increase of \$31.0 million addresses resource requirements for the maintenance of, and enhancements and improvements to the Automated Target System (ATS), which supports the overall operations and maintenance (O&M) of the six modules that comprises ATS.

Targeting Systems and Staff – The requested increase of \$38.702 million and 25 FTEs will support enhancements to targeting systems and staff within the Office of Intelligence and Investigative Liaison (OIIL). The OIIL program includes resources for the identification, development, implementation, and refinement of mechanisms for various methods of targeting and responding to security-related operational and real-time events involving people, goods, and conveyances entering and exiting the United States. The increase will allow CBP to increase our targeting capabilities by providing the ability to updates rules in real time and allow CBP to attain a true 24/7 targeting capability to better support CBP officers in the field.

Container Security Initiative (CSI) – The requested increase of \$13.032 million will allow CBP to continue to review high-risk cargo that can be targeted and inspected before reaching a U.S. port. Operational in 58 ports, CSI is an effective multinational program protecting the primary system of global trade – maritime containerized shipping – from being exploited or disrupted by international terrorists. The request will support the CSI rebalancing of its international footprint and maintain current operations. The program will continue the hub concept in several international locations where there are multiple CSI ports.

Intellectual Property Rights (IPR) Enforcement – The requested increase of \$10.0 million will support IPR enforcement through two operational initiatives. The request includes \$5 million for the IPR Partnership Program and Distribution Chain Management and \$5 million to support the mainstream Enforcement Link Mobile Operations (ELMO) for U.S. border operations.

ICE Medical Detention Support – The requested increase of \$8.0 million will support ICE Medical Detention program. This increase represents the projected costs of medical treatment for aliens that are in CBP’s custody. Costs are based on current requirements, plus inflation and ICE’s projections for costs.

National Targeting Center –The requested increase of \$7.98 million will allow CBP to continue to develop and implement an enhanced targeting strategy that more effectively and efficiently divides cargo and travelers according to potential threat they pose.

Industry Integration Centers - Centers for Excellence and Expertise(CEEs) – CBP requests \$3.0 million for CEEs. In October 2011, CBP established two Industry Integration Centers: the Electronics Center in Los Angeles and the Pharmaceuticals Center in New York. CEE’s are being developed in an effort to increase uniformity of practices across ports of entry, facilitate the timely resolution of trade compliance issues nationwide, improve enforcement efforts, and further strengthen critical agency knowledge on key industry practices. In FY 2013, with the additional funding provided, CBP, in consultation with its trade community partners, will establish 4 additional CEEs designed to address issues within critical trade sectors such as textiles, petroleum, consumer products and mass market retail imports, agriculture, automotive, machinery and manufacturing imports.

Financial and Budgetary Management Systems – The requested increase of \$3.0 million will provide enhancements and operations and maintenance costs to the Office of Administration’s (OA) base funding for the Systems, Application, and Products (SAP) maintenance. SAP is CBP’s integrated Enterprise Resource Planning (ERP) system for financial, procurement and asset management.

Provide Situational Awareness via Video from Air Assets – The \$3.0 million increase will support the acquisition of situational awareness via video from air assets. A project called “Big Pipe” is a video streaming capability from various CBP aerial and ground assets to provide situational awareness to CBP, DHS and other Federal agencies; including but not limited to DOD, the National Geospatial-Intelligence Agency (NGA), the North American Aerospace Defense Command ( NORAD), and Foreign Governments, as well as local and state law enforcement.

Other International Programs – The requested increase of \$2.218 million represents an increase to support non pay funding for the Office of International Affairs (INA).

### **Program Decreases**

CBP made a number of internal realignments and reductions in order to fully support the staffing level for its frontline officers and agents. Our cost for salaries and benefits continues to increase at a rate higher than general inflation primarily due to: workforce maturation; staff promotions to full-performance journeyman; low attrition rates; and an increased cost in workforce benefits, such as

retirement and healthcare. The reductions/realignments necessary to fund these staffing cost increases include:

Management and Administration Staffing and Services – Administrative reviews identified efficiencies totaling \$55.257 million and 102 FTE associated with printing services, organizational studies, and liaison work with various audit activities. This includes Human Resource Management activities and decreases to Administrative Staff and expenses within the Office of the Commissioner, the Office of Information Technology, the Office of Administration, and the Office of Public Affairs.

CBP Fleet Acquisition and Management – The requested decrease of \$41.221 million will defer replacing vehicles used for non mission critical operations resulting in a deferment of \$39.671 million. In addition, CBP will reduce projected fuel and maintenance expenses by \$1.550 million.

CBP IT Infrastructure & Systems Support – The requested decrease of \$36.751 million will be taken in CBP IT Infrastructure & Systems Support. This reduction will require CBP to defer replacement of legacy equipment and technical upgrades. CBP will work to mitigate any potential network availability or system slow down and outages.

NII Investments and O&M – The \$31.043 million reduction in LOB 2 transitions the NII program to an Operations & Maintenance (O&M) steady state mode. With this shift in strategy, the program will rely on currently fielded equipment. The NII program will develop a risk mitigation plan to shift NII resources in order to meet mission requirements for facilitating the movement of legitimate trade and intercepting and screening high risk cargo and conveyances.

Field Operations Overtime – The Office of Field Operations will reduce overtime costs by \$21.1 million. This reduction will not impact operational staffing and CBP officers will continue the full range of inspection, intelligence analysis, examination, and law enforcement activities that relates to the arrival and departure of persons, conveyances, and merchandise at our Nation's ports of entry.

Academy Training and Operations – CBP will realize a savings of \$14.7 million by reducing some specialized training such as succession management and leadership training. Mandatory training for new frontline employees to perform their duties and officer and agents certifications will be maintained.

CBP Transportation Program – CBP will realize a savings of \$12.258 million due to a reduction to transportation workload and through cost efficiencies. This savings will be acquired through reconfiguration of the assets used in meeting the lower workload requirements and cost reductions gained from the re-competition of the transportation contract.

Field Support Staff – CBP has undertaken a review of operational support requirements through the field locations and adjusted position authorizations to reflect the review recommended changes. These adjustments will yield a savings of \$9.213 million.

Air and Marine Staff – CBP will reduce OAM staff to preserve higher priority requirements. This will be achieved by aggressively managing recruiting and attrition and making use of various tools to



manage the workforce and address the highest priority missions. This reduction will yield a savings of \$7.03 million.

Suspending WHITI/LBI Procurement – CBP will decrease the Western Hemisphere Travel Initiative Land Border Integration (WHTI/LBI) procurement program by \$6.0 million. The decrease will not affect programmatic operations. CBP will maintain its current deployed investment and process improvements as well as the operations and maintenance of this program.

Extending C-TPAT Validation Cycle to 4 Years – C-TPAT will extend the validation cycle to four years as mandated by the Security and Accountability for Every (SAFE) Port Act of 2006 (P.L. 109-347). In past years, CBP accelerated the re-validation schedule to once every three years for all importers, carriers and for manufacturers and more specifically once every year for Mexico highway carriers which are considered to be high risk. This extension to a four year cycle will yield a savings of \$5 million.

Rescoping Immigration Advisory Program (IAP) in Incheon and Warsaw – CBP will realize a savings of \$3.463 million from ceasing IAP operations in Warsaw, Poland and Incheon, South Korea. The closures will allow CBP to maintain its international footprint while expanding the IAP program to other locations.

Legacy Application Standardization – CBP budget request includes a reduction of \$2.938 million for Legacy Application Standardization. CBP will be consolidating infrastructure environments where possible, and looking to retire/consolidate legacy government developed applications.

Trade's National Account Manager, Rulings, & Revenue Policy Staff – This request includes a savings of \$2.360 million which will be realized by reducing FTEs in the following offices: 2 FTE National Account Managers (NAMS); 5 FTE from Trade, Policy and Program (TPP) Revenue Branch; and 14 FTE from the Regulations and Rulings (RR) Policy Staff.

Closing 2 National Targeting & Analysis Groups – CBP will close two National Targeting and Analysis Groups (NTAG); one located in Dallas, Texas and the other in Chicago, Illinois. The workload generated by the closure of these two facilities will shift to other existing NTAG. These closures will yield a savings of \$1.386 million.

Deactivation of 9 Inland Border Patrol Stations – OBP recommends the deactivation of nine inland stations. The stations are: Billings, MT; Twin Falls, ID; Abilene, Texas; San Angelo, TX; Riverside, CA; Dallas, TX; San Antonio, TX; Lubbock, TX; and Amarillo, TX. These locations were selected based on a study that assessed the stations' operational utility relative to the Border Patrol's operating environment. The 43 agents currently assigned to these positions will be reassigned to other stations. This deactivation will result in a savings \$1.3 million.

## **Pay Reform**

Reform of CBP's personnel system is needed to address inefficiencies that resulted from the merger of employees from three different agencies into CBP. Prior to the establishment of DHS, these agencies had their own overtime systems and policies and the continuation of these different pay and benefit

systems and policies hinders CBP's ability to integrate their workforce. CBP is moving towards a uniform system that meets the agency's critical mission and encourages mobility across organizations. CBP proposes moving towards a uniform overtime system for its frontline enforcement officers that promotes efficiency while valuing the time and inconvenience to employees when overtime is needed to meet the Agency's critical mission. The standardization of CBP's overtime pay systems is necessary to achieve our mission integration objective. In order to effectively achieve this goal, DHS has proposed legislative changes in law. The legislation also brings all Law Enforcement Officer and Enhanced Customs and Border Protection Officer positions into the same retirement system and is projected to save approximately \$65 million. The proposed legislative language was provided to Congress on September 7, 2011.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Customs and Border Protection Salaries and Expenses

#### Summary of FY 2013 Budget Estimates by Program Project Activity

#### FY 2013 Requested Budget Authority (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
<b>Headquarters Management and Administration</b>	<b>4,804</b>	<b>4,572</b>	<b>1,485,068</b>	<b>4,788</b>	<b>4,606</b>	<b>1,868,852</b>	<b>4,872</b>	<b>4,690</b>	<b>1,881,931</b>	<b>84</b>	<b>84</b>	<b>13,079</b>	<b>(97)</b>	<b>(97)</b>	<b>(117,548)</b>	<b>181</b>	<b>181</b>	<b>130,627</b>
MA Border Security Inspections and Trade Facilitation	2,398	2,283	504,335	2,380	2,288	667,794	2,423	2,331	601,414	43	43	(66,380)	(47)	(47)	(59,799)	90	90	(6,581)
MA Border Security and Control between Ports of Entry	2,406	2,289	524,920	2,408	2,318	717,309	2,449	2,359	665,646	41	41	(51,663)	(50)	(50)	(57,749)	91	91	6,086
Rent	-	-	455,813	-	-	483,749	-	-	614,871	-	-	131,122	-	-	-	-	-	131,122
<b>Border Security Inspections and Trade Facilitation</b>	<b>22,024</b>	<b>21,342</b>	<b>2,959,491</b>	<b>23,219</b>	<b>23,053</b>	<b>2,903,761</b>	<b>23,157</b>	<b>23,158</b>	<b>2,960,358</b>	<b>(62)</b>	<b>105</b>	<b>56,597</b>	<b>(62)</b>	<b>(62)</b>	<b>19,759</b>	<b>-</b>	<b>167</b>	<b>36,838</b>
Inspections Trade and Travel Facilitation	20,793	20,152	2,541,920	22,006	21,893	2,484,235	21,944	21,966	2,480,674	(62)	73	(3,561)	(62)	(62)	(32,748)	-	135	29,187
Harbor Maintenance Fee Collection (Trust Fund)	-	-	3,226	-	-	3,274	-	-	3,285	-	-	11	-	-	-	-	-	11
International Cargo Screening	440	426	106,942	374	368	74,557	374	368	71,534	-	-	(3,023)	-	-	13,032	-	-	(16,055)
Other international programs	60	59	12,091	72	72	10,684	72	72	27,084	-	-	16,400	-	-	2,218	-	-	14,182
C-TPAT	279	270	44,520	248	244	44,979	248	244	40,082	-	-	(4,897)	-	-	(5,000)	-	-	103
Trusted Traveler Programs (TTP)	-	-	10,750	-	-	6,311	-	-	6,311	-	-	-	-	-	-	-	-	-
Inspection and Detection Technology	52	49	139,849	52	50	148,537	52	50	117,575	-	-	(30,962)	-	-	(30,972)	-	-	10
Systems for Targeting	39	36	32,376	34	32	41,400	34	32	113,826	-	-	72,426	-	-	65,420	-	-	7,006
National Targeting Center	348	337	47,111	397	359	51,950	397	391	65,127	-	32	13,177	-	-	7,809	-	32	5,368
Training at the Ports of Entry	13	13	20,706	36	35	37,834	36	35	34,860	-	-	(2,974)	-	-	-	-	-	(2,974)
<b>Border Security and Control between Ports of Entry</b>	<b>23,279</b>	<b>22,854</b>	<b>3,719,981</b>	<b>23,672</b>	<b>23,675</b>	<b>3,619,604</b>	<b>23,643</b>	<b>23,646</b>	<b>3,625,950</b>	<b>(29)</b>	<b>(29)</b>	<b>6,346</b>	<b>(29)</b>	<b>(29)</b>	<b>(25,827)</b>	<b>-</b>	<b>-</b>	<b>32,173</b>
Border Security Control	23,104	22,683	3,683,893	23,301	23,306	3,530,994	23,272	23,277	3,551,840	(29)	(29)	20,846	(29)	(29)	(11,156)	-	-	32,002
Training Between the Ports of Entry	175	171	36,088	371	369	88,610	371	369	74,110	-	-	(14,500)	-	-	(14,671)	-	-	171
<b>Air and Marine Operations Personnel Compensation and Benefits</b>	<b>1,935</b>	<b>1,899</b>	<b>300,128</b>	<b>1,919</b>	<b>1,915</b>	<b>287,901</b>	<b>1,874</b>	<b>1,870</b>	<b>280,819</b>	<b>(45)</b>	<b>(45)</b>	<b>(7,082)</b>	<b>(45)</b>	<b>(45)</b>	<b>(7,449)</b>	<b>-</b>	<b>-</b>	<b>367</b>
<b>US VISIT</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>351</b>	<b>338</b>	<b>261,523</b>	<b>351</b>	<b>338</b>	<b>261,523</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>351</b>	<b>338</b>	<b>261,523</b>

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
<b>Subtotal, Discretionary</b>	47,238	46,095	7,435,413	48,810	48,643	7,295,015	48,674	48,674	7,481,998	(136)	31	186,983	(136)	(136)	(13,517)	-	167	200,500
<b>Total, Salaries and expenses:</b>	<b>52,042</b>	<b>50,667</b>	<b>8,464,668</b>	<b>53,598</b>	<b>53,249</b>	<b>8,680,118</b>	<b>53,897</b>	<b>53,702</b>	<b>9,010,581</b>	<b>299</b>	<b>453</b>	<b>330,463</b>	<b>(233)</b>	<b>(233)</b>	<b>(131,065)</b>	<b>532</b>	<b>686</b>	<b>461,528</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>52,042</b>	<b>50,667</b>	<b>8,464,668</b>	<b>53,598</b>	<b>53,249</b>	<b>8,680,118</b>	<b>53,897</b>	<b>53,702</b>	<b>9,010,581</b>	<b>299</b>	<b>453</b>	<b>330,463</b>	<b>(233)</b>	<b>(233)</b>	<b>(131,065)</b>	<b>532</b>	<b>686</b>	<b>461,528</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>52,042</b>	<b>50,667</b>	<b>8,464,668</b>	<b>53,598</b>	<b>53,249</b>	<b>8,680,118</b>	<b>53,897</b>	<b>53,702</b>	<b>9,010,581</b>	<b>299</b>	<b>453</b>	<b>330,463</b>	<b>(233)</b>	<b>(233)</b>	<b>(131,065)</b>	<b>532</b>	<b>686</b>	<b>461,528</b>

FY 2011 actuals includes funding from the FY 2010 Emergency Border Security Supplemental (P.L. 111-230)

FY 2012 excludes a rescission of prior-year unobligated legacy balances in the amount of \$3.3 million, pursuant to P.L. 112-74.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**MA Border Security Inspections and Trade Facilitation**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: MA Border Security Inspections and Trade Facilitation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2,398</b>	<b>2,283</b>	<b>504,335</b>
<b>2012 Enacted Budget Authority</b>	<b>2,380</b>	<b>2,288</b>	<b>667,794</b>
2013 Adjustments-to-Base	90	90	(6,581)
<b>2013 Current Services</b>	<b>2,470</b>	<b>2,378</b>	<b>661,213</b>
2013 Program Change	(47)	(47)	(59,799)
<b>2013 Total Requested Budget Authority</b>	<b>2,423</b>	<b>2,331</b>	<b>601,414</b>
Total Change 2012 to 2013	43	43	(66,380)

CBP requests 2,423 positions, 2,331 FTE, and \$601.414 million in FY 2013 for the Headquarters Management & Administration, at the POE PPA

- A decrease of -\$10.808 million for annualization of FY 2012 Field Operations positions to staff new ports of entry and to enhance operations
- An increase of \$2.141 million for an enhancement to targeting systems and staff
- An increase of \$1.500 million for an enhancement to provide situational awareness via video from air assets
- An increase of \$1.517 million for the FY 2013 Pay Increase
- A transfer of -\$9.385 million for consolidation of rent into the Rent PPA
- An increase of \$1.500 million for an enhancement for financial and budgetary management systems
- An increase of \$67,000 for annualization of the FY10 Border Security Supplemental
- A decrease of -\$1.645 million for annualization of the FY 2012 National Targeting Center enhancement
- A decrease of -\$193,000 for an efficiency from decentralization of CBP's Discipline Program
- An increase of \$3.120 million for an adjustment for Workers and Unemployment Compensation Requirements. The increase to the Workers Compensation requirements is

attributable to more aggressive prophylaxis programs and the increased hazards of the CBP mission as well as the numbers of persons in those hazardous conditions. The increase to Unemployment Compensation Program requirements is attributable to increased attrition of interns separating because of their inability to meet requirements and is also compounded by extension of benefits offered by the Program.

- A decrease of -\$1.955 million for a DHS Management efficiency regarding Strategic Sourcing Initiatives
- An increase of \$17.045 million for a technical adjustment for the Working Capital Fund. This increase is mainly due to the inclusion of Data Center Operations & Maintenance and the cost of HSPD-12.
- A decrease of -\$24.211 million for a reduction to management and administration staffing & services
- A decrease of -\$1.469 million for a reduction to legacy application standardization
- A decrease of -\$18.375 million for a reduction to CBP IT infrastructure and systems support
- A decrease of -\$20.885 million for a reduction to CBP fleet acquisition and management
- A decrease of -\$3.612 million for a DHS Management Efficiency regarding TDY and Travel
- A decrease of -\$2.548 million for a DHS Management Efficiency
- An increase of \$11.813 million for a transfer to realign OTIA funding to S&E
- A decrease of -\$9.743 million for a DHS Management efficiency regarding OFPP-Directed Purchasing Savings
- An increase of \$42,000 for annualization of the FY 2012 Immigration Advisory Program enhancement.
- A decrease of -\$152,000 for a DHS Management efficiency regarding PCS Costs
- A decrease of -\$144,000 for a DHS Management efficiency regarding overtime

### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The Headquarters Management and Administration (M&A) PPA funds the infrastructure necessary to provide critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. Funding within this PPA is vital to sustaining the safety of our borders and expeditiously carrying out trade activities. This program is essential to performing CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

The M&A, Border Security Inspections and Trade Facilitation PPA supports all six CBP Lines of Business (LOBs): (1) Securing America's Borders; (2) Securing and Facilitating Flows of Cargo; (3) Securing and Facilitating Flows of People; (4) Intelligence and Targeting; (5) Enterprise and Business Services (Management and Administration); and (6) Mission Support.

Note: Current Services Goals for offices associated with the M&A Border Security Inspection and Trade Facilitation PPA are included with the M&A, Border Security and Control between the Ports of Entry PPA.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**MA Border Security and Control between Ports of Entry**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: MA Border Security and Control between Ports of Entry**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2,406</b>	<b>2,289</b>	<b>524,920</b>
<b>2012 Enacted Budget Authority</b>	<b>2,408</b>	<b>2,318</b>	<b>717,309</b>
2013 Adjustments-to-Base	91	91	6,086
<b>2013 Current Services</b>	<b>2,499</b>	<b>2,409</b>	<b>723,395</b>
2013 Program Change	(50)	(50)	(57,749)
<b>2013 Total Requested Budget Authority</b>	<b>2,449</b>	<b>2,359</b>	<b>665,646</b>
Total Change 2012 to 2013	41	41	(51,663)

CBP requests 2,449 positions, 2,359 FTE, and \$665.646 million in FY 2013 for the Headquarters Management & Administration, between the POE PPA

- A decrease of -\$18.786 million for a reduction to CBP fleet acquisition and management
- A decrease of -\$3.608 million for a DHS Management Efficiency regarding TDY and Travel
- A decrease of -\$1.955 million for a DHS Management efficiency regarding Strategic Sourcing Initiatives
- A decrease of -\$166,000 for a DHS Management efficiency regarding PCS Costs
- A decrease of -\$9.744 million for a DHS Management efficiency regarding OFPP-Directed Purchasing Savings
- A decrease of -\$2.533 million for a DHS Management Efficiency
- A decrease of -\$18.376 million for a reduction to CBP IT infrastructure and systems support
- A decrease of -\$137,000 for a DHS Management Efficiency regarding overtime
- A decrease of -\$1.469 million for a reduction to legacy application standardization
- A decrease of -\$24.259 million for a reduction to management and administration staffing & services
- An increase of \$17.045 million for a technical adjustment for the Working Capital Fund is mostly due to the inclusion of Data Center Operations & Maintenance and the cost of HSPD-12.
- An increase of \$11.814 million for a transfer to realign OTIA funding to S&E

- An increase of \$3.120 million for an adjustment for Workers and Unemployment Compensation Requirements. The increase to Workers Compensation Program requirements is attributable to more aggressive prophylaxis programs and the increased hazards of the CBP mission as well as the numbers of persons in those hazardous conditions. The increase to the Unemployment Compensation Program requirements is attributable to increased attrition of interns separating because of their inability to meet requirements and is also compounded by extension of benefits offered by the Program.
- A decrease of -\$193,000 for an efficiency from decentralization of CBP's Discipline Program
- An increase of \$1.5 million for an enhancement for financial and budgetary management systems
- An increase of \$1.5 million for an enhancement to provide situational awareness via video from air assets
- An increase of \$229,000 for annualization of the FY10 Border Security Supplemental
- A decrease of -\$9.385 million for consolidation of rent into the Rent PPA
- An increase of \$1.599 million for the FY 2013 Pay Increase
- An increase of \$2.141 million for an enhancement to targeting systems and staff

### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The PPA Management and Administration (M&A), Border Security and Control Between Ports of Entry (POEs) provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. M&A funding is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

The M&A PPA supports all six CBP Lines of Business (LOBs): (1) Securing America's Borders; (2) Securing and Facilitating Flows of Cargo; (3) Securing and Facilitating Flows of People; (4) Intelligence and Targeting; (5) Enterprise and Business Services Management and Administration; and (6) Mission Support. The following offices are funded within this PPA : Human Resources Management (HRM); Public Affairs (OPA); Commissioner (CMSR); Chief Counsel (OCC); Congressional Affairs (OCA); Administration (OA); Intelligence and Investigative Liaison (OIIL); Internal Affairs (IA); Training and Development (OTD); Technology Innovation and Acquisition (OTIA); and Information Technology (OIT).

Offices such as CMSR, OPA, OCC, OCA, HRM and OTD manage programs and perform activities in support only for LOB 5, Enterprise Business Services, while the remaining offices within in the M&A PPA (OTIA, OIIL, OA, IA, and OIT) support multiple LOBs.

In general, offices funded from this PPA provide the mission support activities typical of headquarters. Therefore, they will appear in Lines of Business 5 & 6. However, some of these offices also have activities in multiple Lines of Business because some of their functions directly support those LOBs. For example, OA's Revenue Division appears, for obvious reasons, in LOB 2. However, from an organizational standpoint, the Revenue Division is grouped with other accounting and funds management offices under the Office of Administration. Similar situations exist for the larger HQ offices such as OIIL, IA, and OIT. Overall, while complex, the mapping between the Offices and



LOBs illustrates that there are differences between where a function is located administratively and the operational impact of that function. Taken together, the PPA, Office, and LOB views clearly articulate where funding comes from, which office manages it, and how it supports CBP's mission

## **Offices Under Enterprise Business Services (Line of Business 5)**

### **Office of the Commissioner (CMSR)**

The Office of the Commissioner is responsible for the overall management and strategic direction of CBP. As the leading CBP office, CMSR has Counselors who serve as liaisons to specific CBP program offices. These Counselors operate as Senior Program Advisors who have broad operational orientation giving senior leaders within CBP a specific point of contact to clarify the Commissioner's intent and provide operational guidance. In addition, the seven offices described below support the implementation of the Commissioner's agenda:

### **Office of Diversity and Civil Rights (DCR)**

The Office of Diversity and Civil Rights, formerly the Office of Equal Opportunity, is responsible for ensuring diversity and inclusion, and for overseeing compliance with applicable civil rights and civil liberties law. DCR provides leadership in the formulation, implementation, and evaluation of CBP's civil rights policies and programs. In addition, DCR ensures diversity and inclusion in all CBP programs and activities and processes discrimination complaints.

### **Office of Policy and Planning (OPP)**

The Office of Policy and Planning provides leadership, direction, and advice regarding CBP's overall policy development and implementation. OPP assists and works on behalf of the Commissioner and Deputy Commissioner to define and promote CBP priorities through the effective development and implementation of key policy initiatives in coordination with other CBP offices, DHS, and other governmental agencies. The OPP serves as the principal advisor to the Commissioner and other senior officials on CBP's strategic planning. In coordination with the CBP Offices of Administration and Information Technology, OPP also advises senior leadership on the integration of resource allocation with strategic-level planning and performance. Finally, OPP is implementing CBP's Strategic Management Framework (SMF), which will fully integrate CBP's investment management, resource management, and program management processes to ensure the most efficient use of CBP resources.

### **Office of Program Development (OPD)**

The Office of Program Development, through the effective development, management and oversight of the Planning, Programming, Budgeting, and Accountability (PPBA) strategic framework, increases recognition that resources management is an integrated strategy focused on mission outcomes, builds tighter linkage and alignment within the PPBA processes, and strengthens CBP's overall PPBA capability and competencies.

### **State, Local and Tribal Office**

The State, Local and Tribal Office is responsible for the impact of CBP policies and initiatives on state and local stakeholders, and collaborates with state and local stakeholders of current and proposed CBP programs.

### Office of Trade Relations (OTR)

The Office of Trade Relations is responsible for providing timely information about CBP trade policy to the international trade community (importers, exporters, carriers, customhouse brokers, forwarders, bond providers, trade associations and financial institutions). OTR conducts formal CBP outreach efforts by hosting regional and local trade roundtables, trade webinars and large trade conferences, such as the semiannual Trade Symposium, including setting the agenda, determining the message to be conveyed, and identifying CBP and Other Government Agencies (OGA) participants. OTR also serves as an objective problem resolution resource for the international trade community on strategic issues. The Director of OTR is the Designated Federal Officer (DFO) for two federal advisory committees: 1) The U.S. Customs and Border Protection Airport and Seaport User Fee Advisory Committee provides advice to the Secretary of the Department of Homeland Security on issues related to the performance of airport and seaport inspections coinciding with the assessment of an agriculture, customs, or immigration user fee; and 2) The Advisory Committee on Commercial Operations of CBP (COAC) advises the Secretaries of the Department of the Treasury and the Department of Homeland Security on the commercial operations of CBP and related DHS and Treasury functions. Through a strategic communication plan, in coordination with other CBP offices, DHS, and other government agencies, OTR determines the best practices and the most effective and efficient means of communicating policy matters to the trade community.

### Joint Operations Directorate (JOD)

In order to further advance operations integration, synergy, and to formalize and institutionalize this direction for the agency, the Joint Operations Directorate (JOD) was established in FY 2011 within the Office of the Commissioner. The mission of the JOD is to facilitate and strengthen the strategic capabilities of CBP by planning, coordinating, and executing integrated field operations.

The JOD consists of five divisions: Incident Management Division – handles all natural and man-made incidents; Joint Integrated Planning Division – handles all planning for operations involving more than one CBP operational component; Special Programs Division – handles both unclassified and classified operations and special mission planning; Joint Field Integration/Corridors Division; and Joint Communications Division.

The JOD supports CBP's mission through development of joint strategic, operational, and incident plans, and the implementation of programs and initiatives to combat international terrorism and transnational criminal organizations.

### Joint Field Command (JFC)

The Joint Field Command – Arizona (JFC-AZ) enhances and ensures the continuity of Southwest Border Security operations in Arizona through a unified and cohesive CBP approach while ensuring the facilitation of legitimate trade and travel. The JFC-AZ establishes a corporate mindset that will maximize and improve CBP capabilities across the Arizona border through a unified, integrated and cohesive approach to Border Security. The JFC-AZ serves as a direct representative of the Commissioner within Arizona and communicates and directs the implementation of the Commissioner's strategic intent for CBP joint operations through the senior field leadership. The JFC-AZ also facilitates the decision making process for the allocation of assets with the Joint Operations Directorate and other HQ elements in accordance with strategic plans and directives.

In FY12 the JFC-AZ enforcement campaign plan will be implemented. The intent of the plan is to degrade and dismantle the Transnational Criminal Organizations (TCO) support nodes attempting to exploit established smuggling infrastructure located in the Arizona Corridor. The campaign supports the JFC-AZ strategic vision and priorities and subsequently the principles and priorities set forth by the Office of the Commissioner for CBP.

### **Office of Public Affairs (OPA)**

The Office of Public Affairs is responsible for informing and managing the flow of information to the public about CBP and its missions, accomplishments, and ongoing operations. OPA prepares and disseminates timely and accurate information to the public and to other CBP offices. OPA consists of five divisions/programs (Media, Public Outreach, CBP History, Information Center, and Visual Communications).

### **Office of Chief Counsel (OCC)**

The Office of Chief Counsel is the chief legal officer of CBP and reports to the General Counsel of DHS through the Deputy General Counsel. The OCC serves as the Ethics Officer for the organization and is the principal legal advisor to the Commissioner of CBP and its officers. The OCC staff provides legal advice to, and legal representation of, CBP officers in matters relating to the activities and functions of CBP. This office is also responsible for reviewing proposed actions to ensure compliance with legal requirements, preparing formal legal opinions, preparing or reviewing responses in all court actions, civil or criminal, involving CBP. In addition, OCC develops, implements, and evaluates nationwide programs, policies, and procedures within its functional areas. The OCC has both a Headquarters and a field structure. The Headquarters office is located in Washington, D.C. and its activities are divided broadly into three functional areas: Ethics, Labor and Employment, Enforcement, and Trade and Finance, under the supervision of Associate Chief Counsels. The field structure consists of Associate and Assistant Chief Counsels located in major cities across the United States who advise CBP field managers in their geographic areas.

### **Office of Human Resources Management (HRM)**

The Office of Human Resources Management is CBP's lead for managing and developing the workforce. HRM provides centralized human resources support to nearly 61,000 CBP employees nationwide and overseas and is responsible for promoting mission accomplishment through the efficient and effective delivery of the following services: hiring and recruitment; organizational realignments; compensation and pay administration; retirement and benefits; workplace health and safety; and labor and employee relations.

### **Office of Congressional Affairs (OCA)**

The Office of Congressional Affairs acts as a conduit between DHS, CBP's internal components, and the Congress. OCA performs the vital work of advancing CBP's core mission priorities in the legislative arena by facilitating effective and timely information exchange and analysis between its stakeholders in three critical areas: Enforcement, Trade and Agriculture, and Appropriations and Management.

## **Mission Support (Line of Business 6)**

### **Office of Training and Development (OTD)**

The Office of Training and Development is responsible for centralized leadership and direction of all training programs for the entire CBP workforce

OTD ensures that all training efforts support the CBP mission and strategic goals, meet the needs of a diverse and geographically dispersed workforce, and contribute to measurable outcomes and results. The OTD establishes standards for designing, developing, delivering, and evaluating training. The office directly executes career development programs; basic and advanced training to all occupations; as well as supervisory, management, and executive development programs via the annual agency-wide national training plan.

As the focal point for centralized leadership, policy and training programs for CBP, OTD promotes achievement and a results-driven culture through effective operational and mission support training efforts and a strong leadership curriculum. OTD prepares employees to carry out the core missions of CBP and continues to evolve to meet the needs of DHS. By working with all CBP components to develop and deliver mission critical training, OTD prepares employees to protect America's frontline. OTD links to CBP's strategic goals to shape the knowledge of agency employees and to prepare them to meet the ever changing challenges of mission critical operations.

## **Offices Under Multiple Lines of Business**

### **Office of Technology Innovation and Acquisition (OTIA)**

OTIA is responsible for the acquisition, deployment, and integration of border security technology solutions. OTIA is developing into a center of excellence, mastering the essential competencies of acquisition and program management while extending their knowledge and expertise to other offices throughout CBP. OTIA will actively share best practices, useful insights, and practical breakthroughs to help CBP and DHS achieve their missions.

Under the direction of the OTIA Assistant Commissioner are four directorates:

1. Acquisition Policy and Oversight—Responsible for establishing policy, both for the conduct of acquisition program management within CBP as well as for ensuring technology initiatives are well defined, integrated across CBP, and based on sound analysis. Acquisition Policy and Oversight also provides workforce development acquisition support to CBP programs. This office serves as the principal support organization to the CBP Component Acquisition Executive (CAE).
2. Program Management—Provides direction, management oversight, and overall coordination for all acquisition and program management functions within OTIA.
3. Technology Management—Responsible for ensuring that CBP's approach to technology is forward-looking, well advised by both the state-of-the-art and the state-of-the-technology, and focused on the value of the technology to CBP's operational mission.
4. Operations Integration and Analysis—Ensures that operational requirements for goods and services are identified, documented, and approved by appropriate governance structures.

Creates and exercises appropriate analytical tools so that CBP management can effectively evaluate and select alternative solutions to meet operational end-user needs.

OTIA manages the technology portfolio and the program management offices for the Southwest Border Technology, the Northern Border programs, and other technical support capabilities. Of the four directorates, OTIA Program Management Office (PMO) is the largest and employs a number of acquisition teams responsible for planning, organizing, staffing, and leading the management of specific acquisition program or programs throughout the system life cycle. In addition to the program/portfolio offices, the PMO includes Business Operations, Systems Engineering, and Integrated Logistics Support Divisions.

OTIA PMO has implemented an Integrated Product/Project Team structure to directly assign subject matter experts from the support directorates to the programs. This strategy increases efficiency and involves each support directorate with the programs and increases accountability for program success. All OTIA acquisitions will be led by a certified and experienced Program/Project Manager (PM) to ensure the programs are properly managed. Deployed technologies will undergo an operational assessment by the Border Patrol to ensure their needs are being met along the Arizona border. At a minimum, each acquisition team will include:

1. PM
2. Lead Systems Engineer
3. Assistant PM for Logistics
4. Assistant PM for Business
5. Users Representative
6. Contracting Officer/Specialist

#### **Office of Intelligence and Investigative Liaison (OIIL)**

The Office of Intelligence and Investigative Liaison supports the following Lines of Business: Securing America's Borders (1), Securing and Facilitating Flows of Cargo (2), Securing and Facilitating Flows of People (3), and Intelligence and Targeting (4).

OIIL provides CBP front line operators and decision-makers with relevant and current situational awareness and facilitates operational responses for all crimes, threats, and hazards throughout the various CBP areas of responsibility (AOR) by utilizing resources such as the Intelligence Coordination Team in Detroit, the Tucson Intelligence and Operations Coordination Center, and the 24/7 National Intelligence Watch. Through the collection and production of intelligence and analytical products, the OIIL provides intelligence and deploys technical, analytical, targeting and collection management tools in support of front line border operations to all geographic AORs. OIIL is operationally broken down into divisions:

#### Targeting Division:

- Operates and maintains the Automated Targeting System (ATS) which is a decision support tool that assesses the risk of all travelers and cargo attempting to enter/exit the US;
- CBP has made substantial investments in its targeting capabilities over the past eight years producing impressive results such as:

- Creation of the National Targeting Centers (NTC) and National targeting rules that cover all threats/hazards;
- Processing 2.1 million air passengers and crew weekly and referring 0.06% (1,300 weekly) of these travelers for additional examination;
  - Identifying over 5,000 Terrorism Watchlist matches each year; of which approximately 300 to 350 annually are denied boarding or refused entry into the United States;
- Development and integration of modernized entity resolution capabilities;
- Development and implementation of machine learning targeting rules in land border and cargo environments;
- Identifying all 6 of the previous unknown terrorist operations as high risk, such as Najibullah Zazi's, David Headley and Faisal Shahzad; the tables below illustrates ATS's current capabilities and other agencies it supports

Targeting Initiative	Air PAX	Air Cargo	Land POE Pedestrian	Rail	Truck	Sea Cargo	Cruise PAX	Outbound Truck	Existing Countries	New Countries
ATS Operations	√	√	√	√	√	√	√	√		
Infrastructure and Hardware Upgrades	√	√	√	√	√	√	√	√		
Disaster Recovery										
Daily Targeting Rule changes and Threat Response	√	√				√				
Air Cargo Advance Screening / Postal Screening Efforts		√								
Predictive Modeling Machine Learning Visualization Tools					√					
Entity Resolution / Identity Management	√									
ATS Global									√	

Targeting Initiative	Benefit	Beneficiary
<b>ATS O&amp;M</b>	<ul style="list-style-type: none"> <li>Targeting mission agility</li> <li>Targeting mission flexibility</li> </ul>	<ul style="list-style-type: none"> <li>CBP</li> <li>OGA's</li> </ul>
<b>Infrastructure and Hardware Upgrades</b>	<ul style="list-style-type: none"> <li>Targeting system sustainability</li> <li>Inter-agency mission support</li> </ul>	<ul style="list-style-type: none"> <li>Targeting and Analysis Systems Program Office (TASPO)</li> <li>All Users</li> </ul>
<b>Disaster Recovery</b>		
<b>Daily targeting rule changes and Threat Response</b>	<ul style="list-style-type: none"> <li>Targeting mission agility</li> <li>Targeting mission flexibility</li> <li>Inter-agency mission support</li> </ul>	<ul style="list-style-type: none"> <li>CBP (TASPO, Office of Field Operations (OFO), OIIL)</li> <li>OGA's</li> </ul>
<b>Air Cargo Advanced Screening / Postal Screening Efforts</b>	<ul style="list-style-type: none"> <li>Expanded mission scope &amp; depth</li> <li>Inter-agency mission support</li> </ul>	<ul style="list-style-type: none"> <li>CBP (OFO)</li> <li>TSA</li> <li>United States Postal Service (USPS), Express Shippers, Carriers</li> </ul>
<b>Predictive Modeling, Machine Learning, Visualization Tools</b>	<ul style="list-style-type: none"> <li>Missed threat reduction</li> <li>Increased inspection effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>CBP (TASPO, OFO, OBP)</li> </ul>
<b>Entity Resolution / Identity Management</b>	<ul style="list-style-type: none"> <li>Increased Targeting Efficiency False Positive Reduction</li> </ul>	<ul style="list-style-type: none"> <li>CBP (TASPO, OFO)</li> </ul>
<b>ATS Global</b>	<ul style="list-style-type: none"> <li>Increased targeting effectiveness: Missed threat reduction</li> <li>Inter-agency mission support</li> </ul>	<ul style="list-style-type: none"> <li>CBP (INA)</li> <li>OGA's</li> <li>Select Countries</li> <li>DHS</li> </ul>

### Collections Division

The OIIL's Collections Division directly supports the leveraging of CBP assets and those of the Intelligence Community (IC) to provide Intelligence, Reconnaissance and Surveillance capabilities that synchronize and integrate the planning and operation of sensors, assets, and processing, exploitation, and dissemination systems in direct support of current and future operations. This provides an enhanced common intelligence picture to CBP leadership both in the field and at Headquarters levels. The OIIL Collections Division deploys cutting edge technologies and capabilities, collections subject matter experts in imagery, signal and human intelligence disciplines, tracking, tagging and locating, law enforcement technical collection enhancements, synchronizing IC airborne surveillance systems, and Tasking, Collecting, Processing, Exploitation, Dissemination procedures that serve as a force multiplier to CBP field commanders and enhances the security of our borders.

### Analysis Division

The OIIL Analysis Division is responsible for the all-source analysis, production, and dissemination of classified and unclassified tactical and strategic intelligence products specific to the primary CBP mission sets across all CBP operational environments. These products are designed to inform both the strategic and operational decision-making processes at all levels of the agency. They focus on the identification of known/unknown threats, high-risk persons/conveyances/cargo and the identification of the tactics, techniques, and procedures used by transnational criminal organizations.

### Additional Trade, Travel and Targeting Enforcement Activities

OIIL also conducts risk assessments of the large volume of regulatory and commercial data generated by commercial entities and other government agencies by verifying the identity of businesses that ship goods across our borders

OIIL provides the Analytical Framework for Intelligence, a multi-year development project to create a suite of “force multiplication” tools to automate time-consuming tasks that face CBP analysts today regarding data access, query and information retrieval, analysis, and reporting. OIIL is responsible for the deployment of all classified communications and technology within CBP . The OIIL divisions ensure that intelligence serves CBP operators through activities associated with LOB 4 – Intelligence and Targeting, links closely with collection and analysis efforts, and informs CBP leaders.

OIIL also coordinates and provides liaison support to facilitate cross-organizational operations as well as CBP operations involving non-CBP elements from throughout the IC as well as international, state, local, and tribal partners and authorities.

### **Office of Administration (OA)**

The Office of Administration (OA) supports the following Lines of Business: Securing and Facilitating Flows of People or Cargo (2), Enterprise and Business Services (5) and Mission Support (6).

#### **Enforce Trade Law and Collect Revenue**

The Enforce Trade Law and Collect Revenue subprogram supports the collection of duties, taxes, and fees tied to cargo that is imported into the United States. CBP collects for over one dozen government agencies and collected a total of \$32 billion in 2010. CBP processes associated trade payments that relate to refunds of duty, drawback and distribution of funds collected related to specific trade programs, such as the Payment to Wool Manufacturers and the Continued Dumping and Subsidy Offset Act (P.L. 106-387; CDSOA) of 2000. Since the enactment of The Trade and Development Act of 2000 (P.L. 106-200) on May 18, 2000, CBP has disbursed over \$110 million to wool manufacturers and since the enactment of CDSOA on October 1, 2000, CBP has disbursed over \$2.5 billion to affected domestic producers. CBP also maintains the inventory of trade related bonds, maintains the electronic cash registers which are used to collect over \$350 million annually across the country, and administers decals and transponders for boats, private aircraft and trucks that enter the country, accounting for over \$29 million collected annually.

#### **Management**

The Management subprogram provides a wide range of activities that indirectly support agency operations and functions. OA develops, deploys, and maintains sourcing strategies to ensure efficient and effective sourcing of goods and services while supporting strategic sourcing and process improvement efforts within CBP and DHS. OA develops required analysis of multiple programs to identify initiatives that support the capabilities and goals of the organizational strategic direction, enhancing the programs’ stewardship, service delivery and performance management. OA develops and provides oversight of core business processes, business process improvement, program and organizational performance metrics, management and scorecard management. OA also provides oversight and coordination of efficiency reviews, program management reviews, and program management structural development and change management of multiple CBP Asset and Administrative Programs. Furthermore, OA is responsible for ensuring the capabilities and goals of the multiple Asset and Administrative Programs and the overarching organization are met through the development and required analysis of strategic emphasis and initiatives.

OA delivers services through customer involvement and modern, integrated financial systems in support of CBP’s goal of developing and promoting more effective and efficient methods to obtain and



manage financial data, resources, and capital assets, consistent with the needs of customers and stakeholders. OA also provides financial management services, including budgeting, accounting, and investment analysis. OA provides for effective and efficient payroll services for the unique pay circumstances encountered by CBP.

OA operates and maintains CBP's Enterprise Resource Planning (ERP) system for integrated financial, procurement, and property management. This state-of-the-art system has eliminated many paper processes and improved efficiencies in several business areas while allowing CBP to continue its outstanding financial performance with unqualified audit opinions since 2004.

OA provides for efficient and timely payment for employee travel and the payment of goods and services provided by both private companies and other government agencies to CBP in support of mission accomplishment.

OA provides print and print related services for CBP and other DHS components. In support of the agency's core mission of keeping terrorists and their weapons out of the country while securing and facilitating trade and travel, this program procures all the necessary forms and paperwork such as the CBP Form I-94 Arrival and Departure Record and CBP Declaration. In support of international travel, this program is responsible for procuring all of the agency's travel related signage found at all land, air, and sea ports of entry.

OA provides procurement contract operations, which include all pre- and post-award contract activities required to plan, select, acquire and manage the acquisition of goods, services, supplies and equipment. Requirements range from simplified to major systems acquisitions resulting in the award of a variety of contracts, task, delivery and purchase orders, as well as interagency agreements. Many of the procurements involve complex requirements, are high-dollar value, represent multi-year efforts, are competitively awarded, and come with intense political interest. OA also handles special projects and executes CBP's extensive reimbursable interagency agreement program. OA's contracting operations support all of CBP to effectively deliver mission capability through the acquisition of critical products and services.

OA oversees CBP's internal controls over financial reporting as required by OMB Circular A-123, the Federal Managers Financial Integrity Act (P.L. 97-255; FMFIA), and Federal Financial Management Improvement Act (P.L. 104-208; FFMIA). This includes conducting internal control reviews, coordinating the development, monitoring and resolution of any corrective action plans or mission action plans resulting from any reviews or audits. Results of the internal control reviews as well as the Financial Statement Audit findings recommendations and remediation leads to increased efficiency within CBP.

OA is responsible for the coordination and oversight of the annual audit of CBP's financial statements and the annual consolidated audit of DHS' financial statements and internal controls. The Chief Financial Officers Act (P.L. 101-576) and the DHS Financial Accountability Act (P.L. 108-330) require that DHS undergo an annual financial statement audit and audit of internal controls. OA serves as the liaison with the DHS Office of Inspector General (OIG)'s contracted Independent Public Accountant firms and DHS for coordination and facilitation of this audit activity. OA also liaisons with the Government Accountability Office (GAO) and the OIG to facilitate the conduct of program

audits performed by these audit entities on all CBP programs. OA establishes processes that ensure policy and strategy align with Department and Agency guidance and the Future Years Homeland Security Program (FYHSP) and that programs are effective at meeting stated goals and objectives.

OA provides personal property management, fleet management, seized and forfeiture property management and oversees uniforms through Line of Business 6, Mission Support and Asset Management subprogram.

#### Asset Management

OA provides program management oversight for CBP personal property (approximately 400,000 assets in FY 2011) through its sustainable lifecycle, to include accurate accounting of property, efficient utilization of property resources, identification of efficiencies/effectiveness in property management, and integration of property records with financial accounting and reporting. Expected outcomes are to manage and maintain CBP's Personal Property Program to increase efficiency and effectiveness; leverage acquisition strategies; and minimize loss of all accountable, high-risk and sensitive, capitalized, and leased property to meet critical mission requirements in accordance with OMB, GSA, DHS, and CBP laws and regulations.

OA's Fleet Management facilitates the acquisition, up-fit, and disposal of vehicles necessary to maintain an operationally ready fleet (27,013 vehicles in FY 2011). OA provides vehicles to support interdiction, enforcement, intelligence gathering, pursuit, surveillance, seizure, trade and travel facilitation at and between the ports of entry and first responder activities required by officers and agents nationwide. The outcomes are best represented by the ability of CBP to maintain the current levels of operational readiness, in part, by holding the average age of the fleet steady at three to four years old and stabilizing the replacements made.

OA oversees the uniforms supply chain for CBP officers and agents. Integral to the DHS mission is the support provided by the uniformed personnel throughout DHS that guard and protect the Nation daily.

#### **Offices of Internal Affairs (IA)**

The Office of Internal Affairs supports Line of Business Intelligence and Targeting (4) and Enterprise and Business Services (5).

The Office of Internal Affairs exercises oversight authority for all aspects of CBP security including operational, personnel, facilities, as well as the CBP counterintelligence (CI) program (to include cyber protection). IA's mission is to promote the integrity and security of the CBP workforce. IA performs and manages a wide variety of functions or programs comprising seven divisions: Personnel Security, Investigative Operations, Integrity Programs, Credibility Assessment, Operational Field Testing, Security Management, and Management Inspections.

IA conducts investigations of alleged criminal and serious non-criminal misconduct on the part of CBP employees. The office coordinates its internal investigative activity with the DHS OIG, U.S. Immigration and Customs Enforcement's (ICE) Office of Professional Responsibility, the Federal Bureau of Investigations (FBI) and numerous other Federal, state and local law enforcement authorities.

CBP has implemented a Comprehensive Integrity Strategy, which integrates prevention, detection, and investigation capabilities to deter and respond to corruption and serious misconduct in the CBP workforce. The Comprehensive Integrity Strategy employs improved personnel security screening of prospective CBP employees, as well as polygraph examinations of law enforcement candidates, application of behavioral and analytical research tools to identify integrity indicators of corruption, and an intelligence-driven investigative response to integrity events. Each investigation (either initial or periodic re-investigation) costs approximately \$3,200 and each polygraph administered costs approximately \$800. The Integrity Program Division conducts research (data) and analysis (behavior) designed to detect corruption, develops data/intelligence to drive the focus of integrity investigations, and applies “Insider Threat” methodologies for advanced detection of possible integrity threats.

### **Office of Information and Technology (OIT)**

The Office of Information and Technology supports the following LOBs: Securing America’s Borders (1); Securing and Facilitating Flows of Cargo (2); Securing and Facilitating Flows of People (3); Intelligence and Targeting (4); Enterprise and Business Services (Management and Administration (5); and Mission Support (6).

The OIT supports Securing America’s Borders LOB activities along the border with Mexico by providing land mobile radio support via the National Law Enforcement Communications Center (NLECC) to CBP’s uniformed personnel. This center monitors agent and officer radio traffic for CBP and some OGAs with whom we have a reimbursable relationship. Over the air monitoring enables staff at the NLECC to perform suspect queries, to request the support of state/local support to federal officials; and to provide over the air rekeying of radios throughout the United States.

In addition, OIT’s Border Enforcement and Management System’s Program Office (BEMS) develops government software application systems to respond to the requirements of CBP’s Office of Border Patrol (OBP). Specifically, BEMS has developed the Enforcement Application for CBP (e3) which consists of five modules: processing, biometrics, assault, prosecution, and Operation Against Smugglers Initiative on Safety and Security (OASISS). Collectively, these systems provide the processing application by which Border Patrol agents (BPAs) process all apprehensions, including all biographical information for each subject apprehended.

The OIT supports Securing and Facilitating Flows of Cargo LOB by facilitating legal trade by contributing through the development, operations and maintenance of CBP’s mission critical trade systems, such as the Automated Commercial Environment/International Trade Data System (ACE/ITDS), the Automated Commercial System (ACS), and the Automated Export System (AES) provide vetting and targeting data to front line CBP officers. This data enables CBP officers an automated way to identify and target cargo for more thorough investigation. ACE, along with ATS, forms the backbone of CBP’s 21st Century trade processing and risk assessment capability. CBP’s trade systems were responsible for collecting \$32 billion in duties and fees in 2010. The OIT’s Cargo Systems Program Office (CSPO) provides the ongoing maintenance and operation of these trade applications that interface and support CBP, other government agencies, and the trade community regarding the importation, exportation and control of merchandise shipments.

The OIT’s Passenger Systems Program Office (PSPO) supports Securing and Facilitating Flows of People LOB by the development, deployment, operations and maintenance of numerous systems that

support CBP's advanced passenger screening, consolidated trusted traveler, and in-bound passenger screening. The PSPO staff maintains and develops Government passenger software applications to provide critical information to the front-line to screen and vet passengers before and/or upon arriving at our nation's borders. Through the use of CBP's passenger processing systems, CBP officers were able to vet and screen 352 million pedestrians and passengers and over 90 million aircraft passengers at our nation's ports in FY2011. PSPO supports the processing of travelers and vehicles at all POEs and supports the vetting process for external agencies, such as, Citizenship and Immigration Services (CIS), and ICE. In coordination with multiple law enforcement agencies PSPO maintains, updates, and disseminates processed advance traveler information and lookout data in real time. PSPO also provides entry exit data for US-VISIT and to intelligence agencies. PSPO supports connectivity services to the FBI's National Crime Information Center (NCIC) and state data via Nlets via TECS. PSPO is also responsible for enrolling and processing applicants in the trusted traveler programs (Global Entry, NEXUS, SENTRI and FAST). OIT and PSPO supports the Transportation Security Administration (TSA) by providing one central communication hub for carriers to use called "DHS Router". DHS Router routes the data to TSA and CBP as appropriate.

The OIT supports Intelligence and Targeting LOB capabilities through robust, rules based targeting systems in the passenger and cargo environments (land, narcotics, passenger, outbound environments, as well as for cross domain among various security levels). ATS provides direct support to OIIL and the NTC. ATS augments CBP officers' determination regarding whether a passenger, crew member, and/or in-bound cargo should receive additional screening because the traveler or cargo may pose a greater risk. ATS-Land (ATS-L) allows for the immediate analysis and risk assessment of private vehicles crossing the U.S. land borders. Within seconds, after reading and processing license plate information against various existing data, the system provides CBP officers at primary booths a risk assessment for the vehicle and passengers in the vehicle. Similarly, ATS-Inbound provides CBPOs with a more efficient and consistent method for targeting high risk inbound cargo for examination. ATS-Passenger (ATS-P) is an internet-based enforcement and decision support tool used for collecting, analyzing, and disseminating information. ATS-P is used at all US airports and seaports where international flights and voyages make ports of call and provides a risk assessment of those passengers and crew members prior to their arrival or departure. It also augments CBPOs' decision making process about whether a passenger or crewmember should receive additional screening because they pose a greater risk.

The OIT supports Enterprise Business Services LOB by providing integrated, comprehensive technical support to carry out the mission of CBP, as well as DHS. OIT is responsible for developing, acquiring, testing, and maintaining legacy and new government and commercial off-the-shelf applications, and for ensuring the reliable performance of CBP's data infrastructure which transmits critical data to and from CBP and DHS data centers which contribute to the multi-layered defense to protect our nation's borders.

These systems all depend on the availability and reliability of the IT infrastructure which OIT must operate and support. The IT infrastructure is the data network that supports among other things the data storage, retrieval, transmission, and delivery of all vetting/screening data from CBP and/or DHS data centers to CBP's front line officers and agents in order to make an admissibility decision on cargo and passengers entering at our Nation's borders. In addition, the IT infrastructure supports the day-to-day requirements of CBP's mission support personnel. The IT infrastructure provides the connectivity

and data transmission from users within CBP, OGAs, and CBP's trade and travel partners, to CBP data that is obtained and analyzed via CBP's software applications. CBP's IT infrastructure connects users to a vast array of data related to operational areas of passenger and cargo processing, targeting, and border enforcement, as well as mission support areas of finance, human resource, and training. The infrastructure is a complex network of field equipment hardware, software, data routers and switches that exist in each of CBP's 650 field locations, along with the data storage, retrieval, engineering, network monitoring, and other IT capabilities at the CBP and DHS data centers.

The IT infrastructure enables users of CBP applications to connect to CBP's mission critical applications at either the CBP and/or DHS data centers, to access data required nearly every minute of every day to conduct the CBP mission of protecting America's homeland. Further, the infrastructure requirements continue to grow in response to increased DHS and federal requirements; daily changes in the risks and threats posed to our nation's borders; and in the growth of international trade and immigration.

The OIT supports Mission Support LOB through their laboratory and science services activities. The Laboratories and Scientific Services (LSS) is the Forensic/Scientific arm of CBP providing forensic and scientific testing in the area of Trade Enforcement, Weapons of Mass Destruction (WMD), Intellectual Property Rights (IPR), and Narcotics Enforcement. The LSS consist of seven regional laboratories located throughout the United States, along with one national research laboratory. Furthermore, LSS operates several mobile laboratories that are used at our nation's borders for random trade blitzes, and/or for on-site emergency response and programmatic on-site border security operations. A specially trained laboratory forensic "jump" team provides crime scene investigation, documentation, and testing for cases involving possible terrorist activity. This team can be activated at a moment's notice.

#### Descriptions of Selected Adjustments to Base

##### Transfer to realign OTIA funding

In response to direction in the FY 2012 Consolidated Appropriations Act (P.L. 112-74) Conference Report, starting in FY 2013 all OTIA Government FTE and associated expenses were moved from the BSFIT Program Management (PM) PPA into HQ M&A Between the Ports of Entry PPA within the Salaries and Expenses appropriation. This funding restructuring complies with Congressional guidance and provides a clearer, consolidated view of Government FTE throughout CBP. This will also allow OTIA the authority to use its organizational resources across CBP (i.e. non-BSFIT programs) to fulfill its role as CBP Component Acquisition Executive (CAE.)

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Rent**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Rent**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>455,813</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>483,749</b>
2013 Adjustments-to-Base	-	-	131,122
<b>2013 Current Services</b>	-	-	<b>614,871</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>614,871</b>
Total Change 2012 to 2013	-	-	131,122

CBP requests \$614.871 million to fund organization-wide Rent costs. The request includes:

- An increase of \$1.590 million for annualization of FY 2012 Field Operations positions to staff new ports of entry and to enhance operations
- An increase of \$335,000 for annualization of the FY 2012 National Targeting Center enhancement
- An increase of \$97.841 million for a technical adjustment to rent. This adjustment represents the increase cost to CBP for rent and related building charges in FY 2013 for the GSA and direct leased facilities of the Office of Border Patrol (OBP), Office of Field Operations (OFO), Office of Air and Marine (OAM), and Mission Support offices. The increase is due to increases in the space inventory from new facilities (replacing of existing facilities, other space additions), and increased cost due to rent escalation clauses. It includes increases from rent-related building charges including utilities and services such as those provided by Federal Protective Service.
- An increase of \$31.356 million for consolidation of rent into the Rent PPA

**CURRENT SERVICES PROGRAM DESCRIPTION:**

CBP requests \$614.871 million in FY 2013 for the Rent PPA, which supports the Real Property Management subprogram within the Mission Support Line of Business. The Real Property Management subprogram encompasses the entire CBP facilities portfolio of owned and leased real property throughout all stages of the portfolio lifecycle, including rent and rent-related payments. CBP leases a substantial portion of its real property assets through the General Services Administration (GSA) and by direct lease delegation to non-federal sources. Specifically, CBP pays rent to GSA for various facilities including 125 land ports of entry, 49 Border Patrol Stations, 47 OFO Field and Port

Offices, 10 Border Patrol Sector Headquarters, and other Mission Support facilities such as administrative office space and laboratory facilities. This PPA includes funds to support the rental of facilities, space, buildings, structures, and land along with rent-related building charges and services, including utilities and services provided by the Federal Protective Service (FPS). The Rent PPA supports OBP, OFO, OAM, and the Mission Support activities.

*Note: Goals and accomplishments associated with the Rent PPA are included within the Congressional Justification for the Construction and Facilities Management account.*

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Inspections Trade and Travel Facilitation  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Inspections Trade and Travel Facilitation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>
<b>2012 Enacted Budget Authority</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>
2013 Adjustments-to-Base	-	135	29,187
<b>2013 Current Services</b>	<b>22,006</b>	<b>22,028</b>	<b>2,513,422</b>
2013 Program Change	(62)	(62)	(32,748)
<b>2013 Total Requested Budget Authority</b>	<b>21,944</b>	<b>21,966</b>	<b>2,480,674</b>
Total Change 2012 to 2013	(62)	73	(3,561)

The President's Budget requests 21,944 positions, 21,966 FTE and \$2,480.674 million for Inspections, Trade, and Travel Facilitation at the Ports of Entry. The request includes:

- A decrease of -\$987,000 for a DHS Management efficiency regarding Strategic Sourcing Initiatives
- A decrease of -\$6.0 million for the suspension of Western Hemisphere Travel Initiative /Land Border Initiative Procurement
- An increase of \$4.509 million for annualization of the FY10 Border Security Supplemental
- An increase of \$8.632 million for the FY 2013 Pay Increase
- A decrease of -\$723,000 for consolidation of rent into the Rent PPA
- A decrease of -\$987,000 for a DHS Management Efficiency
- A decrease of -\$1.917 million for a DHS Management efficiency regarding PCS Costs
- A decrease of -\$6.442 million for a DHS Management Efficiency regarding TDY and Travel
- A decrease of -\$1.386 million for a reduction associated with closing 2 National Targeting & Analysis Groups
- An increase of \$10.0 million for an enhancement to Intellectual Property Rights enforcement
- A decrease of -\$961,000 for annualization of the FY 2012 Immigration Advisory Program enhancement.
- An increase of \$5.747 million for annualization of the FY 2011 CBPO Staffing enhancement
- An increase of \$7.952 million for annualization of the FY 2010 Import Safety Initiative.



- A decrease of -\$4.618 million for a DHS Management efficiency regarding OFPP-Directed Purchasing Savings
- An increase of \$4.906 million for annualization of FY 2009 War Supp. Combating Southbound
- A decrease of -\$3.463 million for a reduction associated with closing IAP sites in Incheon and Warsaw
- An increase of \$3.0 million for an enhancement for Centers of Excellence and Expertise
- A decrease of -\$2.36 million for a reduction to Office of Trade’s National Account Manager, Rulings, & Revenue Policy Staff
- A decrease of -\$21.106 million for a reduction to Office of Field Operations overtime
- A decrease of -\$6.687 million for a reduction to management and administration staffing & services
- A decrease of -\$4.746 million for a reduction to field support staff
- An increase of \$14.076 million for annualization of FY 2012 Field Operations positions to staff new ports of entry and to enhance operations

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The PPA Inspections, Trade and Travel Facilitation at the Ports of Entry (POEs) primarily supports four Lines of Business (LOBs): Securing America’s Borders (1); Securing and Facilitating Flows of Cargo (2); Securing and Facilitating Flows of People (3); Intelligence and Targeting (4).

In addition, this PPA also supports Enterprise Business Services (Management and Administration) (5) which includes activities such as Human Resource Management Activities, Security Clearance Processing, Workforce Development, Legal Services, Public Affairs; and Mission Support (6) which includes activities such as Asset Management, Support Personnel, Agency Training Partner Programs.

Inspections and Trade Facilitation	FY 2013 Current Svc. (000)
CBPO, Ag. Specialist, Salary & Benefits	\$1,629,451
Other Salary & Benefits	615,034
Non-personnel Costs	268,936
Total	\$2,513,422

**Securing America’s Borders (LOB 1)**

The FY 2013 request for this PPA includes base resources that support contraband seizures and detention and removal activities at the ports of entry in three geographical regions corresponding to the subprograms within LOB 1: Northern Border; Southwest Border; and Coastal Regions. CBP’s primary responsibility is to identify potential terrorists and instruments of terror and to perform layered enforcement activities relative to counter-terrorism. These enforcement activities prevent the entry and exit of: terrorists and instruments of terror; harmful pests and diseases; illegal drugs and contraband; illegal aliens; and importations/exportations contrary to law and trade agreements. CBP personnel enforce the laws and regulations of a broad range of Federal, state, and local agencies, relating to the admissibility of people, cargo, and conveyances.

CBP officers (CBPOs) and Agriculture Specialists (CBPAS) conducting contraband seizures and detention and removal activities at the Northern Border, Southwest Border and Coastal POEs are multi-disciplined and perform the full range of inspection, intelligence analysis, examination, and law enforcement activities relating to the arrival and departure of persons, conveyances, and merchandise at POEs.

Detention and removal activities are primarily the function of CBP Enforcement officers [CBPO(E)]. CBPO(E)s are trained and expected to execute a different, more complex role than the typical CBP officer. The principal responsibility of CBPO(E)s is to investigate individuals suspected of or convicted of violations of criminal and civil laws, regulations, trade agreements and treaties enforced by CBP. CBPO(E)s are responsible for the apprehension, detention, and investigation of suspected and convicted criminals for the purpose of prosecution. Additionally, they play an essential role in enforcing CBP's anti-terrorism mission by participating in the Counter Terrorism Response Team, Anti-Terrorism Contraband Enforcement Team, and various special teams with local components from the Office of Border Patrol, ICE, and other federal and local agencies. The CBPO(E) is also primarily responsible for the supervision and transport of suspects in custody at the POEs.

## **Securing and Facilitating Flows of Cargo (LOB 2)**

The FY 2013 request includes funding for the following subprograms within LOB 2: (1) Facilitate Trade and Ensure Compliance; (2) Enforce Trade Law and Collect Revenue; (3) Advance National and Economic Security; (4) Modernize, Cargo and Conveyance Entry; and (5) Cargo and Conveyance Exit.

### **1. Facilitate Trade and Ensure Compliance**

#### **Trade Operations Division (TOD)**

The international trade process involves a complex web of stakeholders working together to develop trade policy, set priorities, operate daily import and export procedures at home and abroad, address security and safety concerns, and deliver and use imported goods.

CBP controls trade through the POEs as goods arrive at the border. Experienced CBP officers, Import Specialists, Agriculture Specialists, and Entry Specialists use their expertise and experience to target, examine cargo, review entry documentation, collect duties, and interact with the importing community to enforce and ensure compliance with U.S. trade laws.

CBP's TO D is responsible for supporting CBP's trade discipline role in security and enforcement matters and managing the operational implementation of trade policy at the POEs. TOD coordinates, implements, and monitors trade enforcement initiatives in the field and establishes mechanisms to conduct oversight of trade programs. TOD promotes uniformity through common measures and best practices and by developing methodologies to identify operational deficiencies and a conduit for resolution. TOD also supports the U.S. and Mexico Bilateral Strategic Plan by participating in the Bilateral Trade-Fraud Subgroup and providing input to the Intellectual Property Enforcement Coordinator within the Executive Office of the President.

### **Trade Cargo Activities (Commercial Targeting Enforcement & Trade Policy & Program)**

To ensure the swift flow of legitimate cargo, CBP must maximize its use of resources by continued national targeting, ruling out low risk shipments, recognizing trusted partners, such as Customs-Trade Partnership Against Terrorism (C-TPAT) and Importer Self Assessment (ISA) partners and concentrating on high-risk shipments that may contain IPR violations, agricultural threats and/or import safety concerns. CBP assists in the facilitation of legitimate cargo and the interception of violations by improving its national targeting efforts to also focus on the identification of goods that violate textile, anti-dumping, and trade agreement laws and regulations. CBP will also continue to coordinate national operations concentrating on multiple source countries, commodities, threats; while continuing to build on its partnerships with other agencies on the further advancement of national operations, developing and leveraging the partnerships CBP has established with their trusted partners and further explore the possibilities of increasing pre-entry and post entry verification programs. These activities include the C-TPAT, the Secure Freight Initiative (SFI), and the Container Security Initiative (CSI). This subprogram also supports activities related to ACE/ ITDS.

### **Intellectual Property Rights (IPR)**

In Fiscal Year (FY) 2011, CBP moved aggressively to implement its 5-Year IPR Strategy, which was submitted to Congress in July 2010. The Strategy is built on three pillars - Facilitate, Enforce, Deter – that are supported by modernized laws, technology and processes; partnerships with the private sector, other agencies, and foreign governments; and investment in human capital, outreach and technology. CBP's strategy is to work throughout the international trade process – pre-entry, at entry, and post-entry - to achieve its vision for an effective IPR enforcement process in which legitimate cargo is released without delay, infringing goods are intercepted, and violators are deterred.

In the current IPR enforcement process, the lack of information on legitimate supply/distribution chains available to CBP causes many shipments of authentic goods to be detained at the border for inspection. This inefficiency in targeting and selection of shipments for inspection increases costs to U.S. industry, forces CBP to expend resources inspecting shipments that do not contain counterfeit merchandise, and results in fewer inspections of shipments containing counterfeit goods.

Thus, CBP's Office of International Trade would like to pilot supply/distribution chain management as a partnership program to enhance IPR enforcement. The pilot supply distribution chain management will provide CBP access to information that will expedite the release into commerce of authentic shipments and enhance targeting and inspection of suspect shipments. The request includes \$5 million to support the Distribution Chain Management program which will establish a partnership between CBP, IPR holders, and importers. When a right holder authorizes the production of merchandise, each individual product will contain a unique identifier, something akin to an alpha-numeric code. These identifiers will be aggregated into umbrella codes so that a single unique identifier will accompany an entire shipment.

When a shipment of authorized goods is imported into the U.S., the importer will provide the shipment's unique identifier to CBP. The agency will use the unique identifier to authenticate the entire shipment of goods. The information about each product and shipment will be collected in a database, and CBP will be able to access that information using automated systems to ensure that the products in the shipment have followed a legitimate supply chain. This will remove the need to physically examine the shipment thus moving the shipment into the trusted segment of imports. By

reducing inspections of legitimate shipments, CBP will be able to focus its resources on shipments that have a high or unknown risk of containing counterfeit goods. In addition, because CBP will have access to legitimate supply chain information, CBP will be able to hone its targeting efforts to look for shipments that do not follow legitimate supply chain patterns. CBP will benefit from more efficient use of its targeting and inspection resources. U.S. importers will benefit from increased predictability in their supply chains and reduced costs because they will not have to bear the delays and costs caused by physical inspections. Right holders will benefit because CBP's increased efficiency will lead to more seizures of counterfeit goods.

## **2. Enforce Trade Law and Collect Revenue**

### **Trade Agreements**

CBP established Trade Agreements (TA) as a Priority Trade Issue (PTI) in 2011 with a goal of effectively implementing, administering and enforcing U.S. trade agreements. As these agreements and programs feature complicated rules of origin requirements, effective communication of these requirements within CBP, with OGAs, and to the trade community is essential to fulfill CBP's trade mission of protecting revenue, enforcing trade laws and protecting national and economic security. CBP's Office of International Trade leads CBP efforts in the creation of initiatives through the TA PTI, such as the development of databases to assist with targeting efforts, special operations on selected importers/industries, and increasing port uniformity in enforcement actions on non-compliant importers.

Knowing how to apply the requirements in a uniform and accurate manner is critical to successful enforcement of these conditionally duty-free or reduced duty programs. Without accurate and timely information and training, both CBP field resources and the trade community will have a more difficult time in ensuring compliant trade preference program claims. To be able to provide the information, training, and targeting needed to support this PTI, enforce our trade agreements, and ensure that the duty benefits accrue only to those importers in compliance with the terms of the trade agreements, CBP will need to ensure that current staff has the latest training.

Free Trade Agreements (FTAs) and preferential trade legislation claims for goods other than textile and apparel products accounted for over \$637 million and approximately 30 percent of all importations by value in fiscal year 2011. The United States currently has FTAs with 17 countries (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Jordan, Mexico, Morocco, Nicaragua, Oman, Peru, and Singapore). Three FTAs (Colombia, Panama and South Korea) have been approved by Congress and will be in force once the President determines that the countries have fulfilled all necessary requirements. The United States is also currently negotiating the Trans-Pacific Partnership with Australia, Brunei Darussalam, Chile, Malaysia, New Zealand, Peru, Singapore, and Vietnam. As new FTAs are negotiated and finalized, it is paramount to address their complexities in order to minimize any potential loss of revenue.

### **Textiles and Apparel**

Proper personnel, training, and targeting need to be in place to ensure that CBP collects proper revenue against \$115 billion in entered value for textiles. Forty-three percent of the entire duty amount collected by CBP comes from textiles. In part, compliance with FTAs is essential to make certain the

correct revenue is collected in the textile area. This requires Headquarters oversight, personnel in the field, and training.

### **Fines, Penalties, and Forfeitures (FP&F)**

CBP's FP&F Division is responsible for the oversight, policy initiation, and staffing of all 41 FP&Fs offices across the U.S. These 41 offices use enhanced enforcement mechanisms to deliver immediate impact to non-compliant importers and to maximize deterrent effects. There are over 450 FP&F staff who support headquarters and field operations to execute the administrative legal processing of all enforcement actions performed by CBP officers, import specialists, entry specialists and ICE special agents. The FP&F Division is responsible for all aspects of the seized property process to ensure proper management control and accountability of all property that is seized at the POEs. The FP&F Division also adjudicates carrier fines assessed under the Immigration and Nationality Act (P.L. 82-414, as amended; INA), all liquidated damages, penalty, and seizure cases initiated under the Tariff Act (P.L.71-361), customs violations, and certain agriculture penalties. This adjudication includes oversight of both administrative and judicial actions related to violations of law referred to headquarters for initiation, as well as, providing guidance to the field on carrier fines issues.

### **Freedom of Information Act (FOIA)**

The CBP Centralized FOIA Division is responsible for receiving, tracking, conducting records searches, and responding to all incoming CBP FOIA requests (for Headquarters and the field locations). When initially established in October 2008, the Division was staffed with eight employees who were provided by different components of CBP. At that time, the number of FOIA requests received per fiscal year was approximately 8,000. In FY 2011, staffing has increased to 14 employees and the volume of FOIA requests received skyrocketed to over 25,000. CBP is working to move away from the current paper-based receipt/tracking/processing system to a more automated FOIA processing system. Currently, different components within DHS use different systems to receive/track/respond to FOIA requests. Some systems are developed internally and others are based on commercially available off the shelf software. The FOIA division is committed to standardizing the CBP FOIA process and activities.

### **Regulations and Rulings (RR)**

CBP delivers binding rulings in advance of importation in response to written requests from importers and other interested parties for rulings or information with respect to a specifically described transaction, a definitive interpretation of applicable law, or other appropriate information. These rulings and decisions are a benefit to trade facilitation as they allow importers to plan their transactions. Most rulings and decisions are published in the Customs Ruling Online Search System and represent an enormously useful research tool for the importing community. CBP also issues final administrative decisions in seizures and penalties cases involving civil violations of customs and navigation laws, and other laws enforced and administered by CBP. Civil enforcement is a benefit to CBP and the trade community as it improves compliance with trade laws, increases revenue, and improves the competitive standing of importers who act legally. Below is a list of other functional areas related to the RR mission:

FOIA Appeals Processing – CBP is responsible for issuing appellate decisions on access to information under the FOIA; litigation support in cases involving those decisions; and training CBP personnel on FOIA responsibilities. The FOIA Appeals, Policy & Litigation Branch

(FAB) is responsible for issuing determinations on appeals filed by requesters who are dissatisfied with the decision they received in response to their initial FOIA request. FAB reviews initial decisions made by FOIA Division and the field and is the only office at CBP that adjudicates FOIA appeals. FOIA appeals have grown substantially in recent years, tripling since FY 2009. FAB also provides litigation support to the Office of Chief Counsel and the Department of Justice (DOJ) in FOIA matters that are litigated. Additionally, FAB provides training to CBP personnel on FOIA compliance and responsibilities.

Privacy Act Adherence - ensures CBP's compliance with the Privacy Act (P.L. 93-579) by assisting operational offices (e.g., OFO, OBP, OIT) in drafting and reviewing System of Record Notices (SORNs) and in preparing Privacy Act Assessments where required by law.

Training and Advisory Services for Other CBP Offices and Other Agencies – National Commodity Specialists Division in coordination with the Office of Field Operations provides between 4 – 6 commodity seminars each year for import specialists on various commodities. In addition, CBP attorneys also provide training in areas such as Penalties, IPR, country of origin, marking, FOIA, value and classification of textiles.

Informed Compliance Publications/Public Outreach – In order to provide information to the public, CBP issues and maintains a series of informed compliance publications (ICP) on new or revised requirements, regulations or procedures, and a variety of classification and valuation issues. CBP also provides public outreach sessions or training on all technical trade and legal areas as part of annual events or upon request.

Civil Enforcement – CBP issued final administrative decisions in seizures and penalties cases involving civil violations of customs and navigation laws, and other laws enforced and administered by CBP.

Regulations – Regulatory documents (regulations and Federal Register Notices) for CBP, whether they concern trade and commercial issues or border security issues, are drafted to ensure that they comply with all legal and administrative requirements, including any required economic analysis, paperwork management collection, as well as, all Federal Register technical drafting requirements.

### **Regulatory Audit (RA)**

CBP performs external audits to: protect Government revenues, ensure compliance with CBP and related trade laws and regulations; facilitate legitimate trade; and protect the security and safety of American citizens from harmful goods. The CBP national audit plan universe consists of approximately 13,000 companies that import merchandise with a total import value of \$10 million or more in a Government fiscal year. The 13,000 companies represent 90% of total annual value of merchandise imported into the United States. In addition to the performance of audits, RA staff members perform consultant type work (Non-Audit Services) for DHS, CBP, and OGAs. The non-audit services provide valuable input and assistance in areas such as investigations of fraud, C-TPAT, supply chain security and import safety.

### **3. Advance National and Economic Security**

#### **Agriculture Programs and Trade Liaison (APTL)**

APTL provides leadership, expertise, and innovation to defend the U.S. from the threats of agricultural and biological terrorism (or Ag/bio-terrorism). APTL is also responsible for meeting the traditional goals of safeguarding and protecting American agriculture from the risks associated with the entry, establishment, or spread of plant pests and pathogens, noxious weeds, and foreign animal diseases.

The specific activities conducted by CBP's Agriculture Programs and Trade Liaison fall into four general areas:

1. The Agro/Bio-Terror Countermeasures Program prevents ag/bioterrorists, their equipment, and weapons from entering the U.S. In partnership with scientific, regulatory, intelligence, and law enforcement agencies, the program assesses risks and obtains information to guide the development and implementation of specific targeting and inspection systems to protect people, agriculture, food, and the economy from ag/bio-terror attacks.
2. The Agriculture Operational Oversight office is responsible for improving oversight of the agricultural mission across all CBP field offices by ensuring a more consistent application of agriculture inspection policy at all POEs. The office is the primary point of contact for all stakeholder-related issues and the implementation of the Joint Agency Task Force Implementation Action Plans, including coordination with the Animal and Plant Health Inspection Service (APHIS), Department of Agriculture, DHS, and our agriculture industry stakeholders.
3. The Agricultural Policy office provides policy, planning, and guidance for CBP agriculture inspection programs in order to prevent the intentional and unintentional introduction of plant and animal pests and diseases.
4. The Agricultural Safeguarding office is responsible for the development, clarification, and interpretation of agricultural oversight policy and procedures. In addition, this office is responsible for the application strategies for maritime cargo, air cargo, land border cargo, passenger processing (air, maritime, land border), and trade facilitation and related operations.

#### **Anti-Dumping/Countervailing Duty (AD/CVD)**

CBP's role in AD/CVD enforcement and collecting AD/CVD duties is an integral part of CBP's mission to protect national economic security. CBP is continuing to develop and implement solutions to enhance AD/CVD enforcement, and needs personnel to continue to manage the process to develop these solutions and nationally disseminate them throughout CBP's ports of entries. AD/CVD training is crucial to ensure that new and veteran CBP staff has up-to-date information and skills to successfully carry out CBP's crucial AD/CVD responsibilities. Personnel and technology resources are key to supporting CBP's targeting efforts against criminal networks which seek to evade AD/CVD duties. CBP is broadening its outreach with industry and government partners, both domestically and internationally, to strengthen partnerships against AD/CVD evasion and transshipment, promote compliance with AD/CVD laws and share best AD/CVD practices.

## **4. Modernize**

### **Policy Training and Field Guidance**

CBP's Policy Training and Field Guidance program includes the planning of CBP's Trade Compliance and Enforcement Strategy under TOD and all activities associated with broker examinations, license application, fingerprinting, and broker permits (local and national).

The Outreach Events and Informed Compliance program includes Customs-related CBPO Canine, Agriculture-related informed compliance and outreach, and all activities performed by the Passenger Service Representative (PSR). The purpose of CBP's PSR program is to provide the highest quality customer service possible at the POEs. The PSR offers a personalized approach to passenger processing. PSRs ensure passengers are aware of entry requirements to expedite processing and conduct one-on-one passenger problem resolution.

### **Commercial Targeting and Enforcement (CTE)**

This program focuses on creating the organizational capacity to coordinate and manage modernization of CBP trade processes and technologies and enhance service delivery.

CBP continues to support the majority of the measures on CBP TradePulse. CBP TradePulse is an online statistics reporting portal which allows users access to CBP trade statistical data. CBP also provides detailed analysis for the formulation of the Mid-Year and Year-End Trade Trends Reports, as well as, various ad hoc requests received by other Office of International Trade divisions and CBP components. Offices within CBP are responsible for providing trade related information and analysis to the Office of International Trade in support of the many programs administered by the office. CBP offices also provides analytical support, data collection/correlation, analysis, risk management techniques, model development and reporting systems to the National Targeting and Analysis Groups located in the field.

With the creation of the Office of International Trade, there was a need to provide CBP a bridge between the legacy reporting systems and the ACE system. CBP currently bridges the gap between the current systems, such as ACS and the future systems developed and deployed by ACE, by managing information that is correlated and reported from many divergent systems. The requirement to deliver timely and accurate trade related information until the full deployment and benefits of the ACE development can be fully realized is integral to the CTE program. All of the systems currently managed by CBP will eventually become a part of ACE system and are developed in conjunction with OIT standards.

## **5. Cargo and Conveyance Entry**

The Cargo and Conveyance Entry subprogram includes base activities related to Non-Intrusive Inspection (NII) conveyance searches and Anti-Terrorism Contraband Enforcement (A-TCET) teams.

### **Anti-Terrorism Contraband Enforcement Teams**

The Office of Cargo Conveyance and Security/NII Division of the Office of Field Operations estimates that in FY 2013 there will be over 5,000 CBP officer assigned to the Anti-Terrorism Contraband



Enforcement Teams. CBP established these teams in 2003, uniting the former Contraband Enforcement Teams, Manifest Review Units, NII, Canine, and Outbound teams to form a single A-TCET. The A-TCET also works closely with the Passenger Enforcement Rover Team and Passenger Analysis Unit (PAU) teams to coordinate all enforcement activities. Although the primary mission of A-TCET teams is anti-terrorism, their activities encompass all types of contraband, including items such as narcotics, currency, weapons, and counterfeit goods.

**Non-Intrusive Inspection Conveyance Inspections**

Since examinations with NII equipment are much faster than manual inspections, NII conveyance searches (which include large-scale x-ray and gamma ray imaging systems, radiation detection equipment, small-scale baggage x-ray systems and portable and hand-held devices) are important tools that help CBP officers fulfill their mission. Without NII equipment CBP front line personnel would be dependent on labor intensive and time consuming manual inspections. The NII equipment inventory is funded by the Inspection and Detection Technology PPA. The Inspection, Trade and Travel Facilitation PPA primarily represents salary costs associated with the NII Conveyance Inspections activities at the POEs.

**Canine Enforcement Program (CEP)**

CBP’s CEP plays a crucial role in anti-terrorism and interdiction efforts. Through the CEP, CBP has established and deployed a world-class detector dog program to augment existing technology while establishing cutting edge detection capabilities. This program provides the agency with a higher level of security and detection capability while maintaining a seamless conduit between existing technology and the proven capabilities of detector dogs. The Office of Field Operations canine teams are strategically assigned to POEs around the United States and to pre-clearance stations abroad. CBP officers use specially trained detector dogs in interdiction and to support specialized programs aimed at combating the terrorist threat at the Nation’s borders, international airports, and seaports. In FY 2011, the Office of Field Operations had approximately 667 CBP officers and CBP agricultural specialist dedicated to the Canine Enforcement Program across the nation. The below table provides a breakout of the K-9 enforcement team population by type.

<b>EOY 2011</b>	<b>Narcotic</b>	<b>Human / Narcotic</b>	<b>Currency / Firearms</b>	<b>Agriculture</b>	<b>K9 Trainers</b>	<b>Total</b>
Office of Field Operations Canine Teams	142	325	48	114	38	667

**6. Cargo and Conveyance Exit**

**Outbound Programs Division**

The Outbound Programs Division was created in 2009 to oversee current outbound operations and develop a long-term national outbound strategy for CBP. The division’s mandate is to address escalating violence in Mexico and to increase outbound operations throughout the United States.

The Outbound Programs Division plans to:

- Stem the illegal flow of firearms and currency out of the United States;

- Increase the interdictions of stolen vehicles and fugitives who are attempting to flee the country; and
- Augment compliance of the export laws.

The Outbound Programs Division works to ensure that various layers of security are strengthened. The division's efforts include ensuring that: CBP officers are trained to conduct outbound operations; CBP possesses adequate outbound facilities, equipment, and technology; CBP is working with international and other government law enforcement agencies; and CBP officers have adequate automated targeting assistance to identify violators. The Outbound Programs Division oversees outbound operations at all POEs, including land crossings, airports, international mail and express courier facilities, and seaports.

CBP employs a "pulse and surge" strategy for outbound operations on the Southwest Border. "Pulse and surge" operations are short duration, periodic outbound inspections followed by periods without inspections. This allows for immediate stand-down of outbound inspections to manage traffic flow departing the POE.

CBP will continue to build on the current cooperative efforts with federal, state, local, and tribal law enforcement agencies. In FY 2011, CBP officers along the Southwest Border seized over \$30 million in illicit currency, 242 firearms, over 5,900 firearms parts, and over 151,000 rounds of ammunition destined to Mexico. Although the outbound operations mission is similar overall to the Southwest border mission, these statistics represent outbound operations seizures destined to Mexico via the land ports.

In FY 2011, CBP detailed approximately 165 CBP officers to the Southwest Border POEs to support port operations, to include conducting 24/7 southbound operations and the Alliance to Combat Transnational Threats (ACTT). The intent of these temporary details were to utilize a collaborative enforcement approach that leverages the capabilities and resources of federal, tribal, state, and local law enforcement and public service agencies against individuals and criminal organizations that are involved in cross border activity. Ports providing temporary detail officers to support outbound operations normally supply only one or two officers. The officers detailed to outbound operations are returned to their ports on conclusion of their temporary detail.

Additionally, CBP is also conducting the following outbound activities:

#### Rail Inspections

CBP is conducting 100 percent scanning of outbound rail cars at all eight railroad crossings on the U.S.-Mexico border and has developed notification protocols with Mexican Customs for the inspection of suspect rail cars, since the cars themselves are on Mexican soil immediately after the U.S. NII scan.

#### Currency/Firearm Detection Canine Teams

The Southwest Border has 34 permanently assigned currency/firearm detector dog teams deployed to the POEs. These specially trained detector dogs are integral to CBP's interdiction and specialized detection programs.

### Low Energy Mobile X-ray Units

CBP has deployed low energy mobile NII imaging systems well-suited to scan outbound personally-owned conveyances for contraband. During pulse and surge operations, these systems can be moved from inbound usage to scan for contraband in conveyances leaving the country. There are currently 23 low energy mobile imaging systems deployed to the POEs along the Southwest Border.

### License Plate Readers (LPRs)

The 48 outbound LPRs currently installed at 16 Southwest Border crossing sites remain an invaluable enforcement tool in CBP efforts to increase the seizures of firearms and currency and to interdict stolen vehicles and fugitives. The LPR technology refresh is only one component of the total OFO Outbound Program solution which is comprised of many components.

CBP has conducted site assessments to determine the best technology configurations for all the Southwest Border crossings. There are 58 Southwest Border outbound lanes that are not currently outfitted with outbound LPRs. License plate readers are considered a fundamental law enforcement tool allowing CBP to increase targeting and real time intelligence by linking inbound, outbound and checkpoint vehicle crossings. Additionally, plans are underway to deploy handheld LPR technology to all Southwest Border crossings by the end of calendar year 2011.

## **Securing and Facilitating Flows of People (Line of Business 3)**

The FY 2013 request includes funding for the subprograms within Line of Business 3: Pre-Arrival Processing; Inbound Inspection; and Outbound Inspection.

### **Pre-Arrival Processing**

#### **Electronic System for Travel Authorization (ESTA)**

Pursuant to the Implementing Recommendations of the 9/11 Commission Act of 2007 (P.L. 110-53; 9/11 Act), DHS and CBP are required to provide an automated electronic travel authorization process to screen Visa Waiver Program (VWP) travelers prior to their travel to the United States. To fulfill this requirement, CBP, in coordination with the Department of State (DOS), has developed ESTA, which allows CBP to screen applicants in advance of travel to determine their eligibility to travel to the United States under the VWP. The VWP has expanded to 36 member nations. Beginning in FY 2011, the ESTA program became funded through user fees.

CBP has received approximately 35 million VWP applications, with an ESTA denial rate of approximately 0.34 percent. CBP began enforced compliance of the ESTA program in March 2010, which has resulted in approximately a 99 percent compliance rate for 2011. With the ESTA data and the Advanced Passenger Information provided by the airlines, CBP has been able to automate the collection of form I-94W data, resulting in a significant reduction in the use of the paper form, and the ability to provide available electronic information immediately. The \$14 for each approved ESTA authorization (comprised of \$10 for the Travel Promotion Act (P.L. 111-145) fee for the Corporation for Travel Promotion and \$4 for ESTA processing) went into effect through an interim final rule published in the Federal Register, on Sept. 8, 2010.

## **Immigration Advisory Program (IAP)**

Under IAP, CBP deploys officers overseas (to London-Heathrow, Amsterdam, Tokyo, Frankfurt, Madrid, Manchester, Paris, and London-Gatwick) to support CBP's goal of enhancing the security of air travel by preventing terrorists from boarding commercial aircraft destined for the U.S., and reducing the number of improperly documented passengers traveling from or through a country to the U.S. IAP provides information to host countries, or appropriate authorities, regarding travelers of interest. It focuses on high-risk persons through the use of targeting and passenger analysis information or an assessment of the passenger's travel documentation. The goals of this effort are the interdiction and apprehension of criminals and persons of national security interest by host countries, the disruption of attempts to smuggle aliens, and the disruption of attempts to enter the U.S. with fraudulent documents.

Since the IAP does not have enforcement authority in the host country, the program relies upon cooperation by the host country's immigration and/or control authority and the air carrier to take appropriate actions to prevent persons of interest from boarding flights destined for the U.S.

During FY 2011, IAP officers recommended 2,890 passengers not board flights, including 30 passengers with fraudulent documents; 757 passengers who were confirmed NTC records, including 74 who were matches to Terrorist Screening Database (TSDB) records; and eight passengers who matched TSA No Fly List. CBP estimates that during FY 2011 the activities of IAP have saved CBP approximately \$4.2 million dollars in processing costs and helped carriers avoid approximately \$4.8 million dollars in fines.

CBP built upon the IAP concept by launching the Joint Security Program (JSP) for Travelers in Mexico City, partnering with the Mexican government to identify air passengers linked to terrorism, narcotics, weapons and currency smuggling. Since the inception of JSP in Mexico City on September 27, 2009, JSP officers have assisted their Mexican counterparts in intercepting 217 passengers with fraudulent documents; nine passengers who were known alien smugglers; confirmed 98 NTC targets, including two passengers who matched the No Fly list; intercepted 86 passengers who were wanted fugitives; and four passengers with narcotics.

## **Inbound Inspection**

### **Western Hemisphere Travel Initiative (WHTI)**

WHTI is the joint DOS and DHS initiative implementing a key 9/11 Commission recommendation and the statutory mandates of the Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-458). WHTI has established document requirements for travelers entering the United States who were previously exempt, including citizens of the United States and Canada. The WHTI requirements for air travelers went into effect in January 2007 and compliance continues to be high—well over 99 percent for U.S. and Canadian citizens. WHTI secure document requirements were successfully implemented on June 1, 2009 at all of the Nation's ports.

In FY 2011, the WHTI program contained both investment and operations and maintenance components. CBP funded WHTI operations at all high volume land ports to ensure the ongoing optimal performance of the program. In an effort to achieve a 100 percent query rate against the national security and law enforcement watch for all travelers, the WHTI program has reached a

national query rate of 96 percent (99 percent on the northern border and 93 percent on the southwest border). There has also been a steady growth in the use of Radio Frequency Identification (RFID) enabled travel documents with 31 percent of all law enforcement queries initiated through such documents. At this time, there are more than 10 million RFID-enabled travel documents in the hands of travelers, an increase from 2.5 million in 2009.

In addition, CBP seeks to capitalize on the initial success, foundation and investment of the WHTI program through the use of “Triangle Strategy.” The goals of this strategy are to implement and expand innovative technologies and processes to provide efficiencies at the land border by integrating Inbound, Outbound and Border Patrol Checkpoint processing, and the sharing of information between these areas to improve targeting capabilities. These goals will be attained by adopting an integrated approach that includes:

- Pedestrian Reengineering – application of a hybrid WHTI solution to pedestrian processing;
- Outbound Strategy – development of a technical solution to support pulse and surge operations; and
- Coordination and extension of WHTI technology to Border Patrol checkpoints.

#### **Fraudulent Document Analysis Unit (FDAU)**

The mission of the FDAU is to remove fraudulent travel documents from circulation and to prevent the use of these documents by *mala fide* travelers attempting to enter the United States. The FDAU performs in-depth analyses of documents seized by CBP officers nationwide and analyzes intelligence from fraudulent documents seized overseas to uncover global patterns and trends. This information is shared within CBP and DHS and with other U.S. and foreign government agencies.

There are currently 210 CBP officers designated as Fraud Prevention officers (FPO). FPOs are located at 146 POEs, international mail and cargo facilities, and preclearance locations. In FY 2011, a total of 247 Fraud Prevention Program reports were submitted by FDAU and posted on CBPnet Secure. The FDAU page was created on CBPnet Secure to provide all CBP officers with easy access to information on the FDAU, fraudulent document use and trends, and resources for authenticating documents. FDAU Bulletins, FPO Reports, and other U.S. government and foreign government reports on fraudulent documents are posted to the FDAU’s CBPnet Secure page. This page is utilized by officers, agents, and intelligence personnel throughout CBP.

As the central location for analysis of fraudulent documents seized by CBP, the FDAU provides training and training materials regarding fraudulent use. The FDAU has worked with the CBP Academy and the Advanced Training Center (ATC) to update their document training programs. Exemplars, training, and training material are provided to other CBP and DHS entities such as the Border Patrol, TSA, CIS, and the United States Coast Guard (USCG).

The FDAU also manages the Carrier Liaison Program (CLP). The mission of the CLP is to enhance border security by increasing commercial carrier effectiveness in identifying improperly documented passengers destined to the United States. In FY 2011, the CLP trained 3,449 airline and security personnel in the United States and abroad and provided training to 476 airline and military personnel in Bagdad and Basra, Iraq, as well as building strong partnerships with CBP representatives in China,

India, Egypt, South Africa, Kenya, and Panama on maintaining close communications with the airline industry.

In 2011, the CLP revised the Carrier Information Guide which is designed to serve as a reference aid for the travel industry. The guide outlines the various documentary requirements that apply to passengers entering or departing the United States. The guide includes information on WHTI, ESTA, the Advanced Passenger Information Systems (APIS), the Trusted Traveler Programs (TTP), and it provides information on detecting international human smuggling. The guide is available on line in ten different languages worldwide at [www.cbp.gov](http://www.cbp.gov). CLP also publishes a quarterly Travel Industry Bulletin to assist and facilitate legitimate safe travel.

Additionally, CLP publishes the Vessel Inspection Guide for the maritime industry. The guide includes procedures, regulations and documentation for processing crew and passengers arriving in the United States. The vessel guide is also online at [www.cbp.gov](http://www.cbp.gov).

### **Admissibility Review Office (ARO)**

The ARO provides CBP with a dedicated resource with institutional knowledge and a consistent approach in making determinations of admissibility under the Immigration and Nationality Act. The ARO works extensively with the DOS and other agencies to determine whether inadmissible aliens may be permitted to travel as non-immigrants with waivers which include all temporary and permanent waiver applications. The ARO reviews applications submitted by aliens who have been determined by CBP officers or consular officers to be ineligible for admission to the United States because of one or more grounds of inadmissibility under section 212(a) of the INA. The ARO completed action on 20,112 cases in FY 2011.

### **Outbound Inspection**

CBP created the Outbound Programs Division in March 2009 to address the escalating violence in Mexico and to increase outbound operations throughout the United States. As part of its effort, the Outbound Programs Division has partnered with ICE to support the multi-agency task forces established to identify, disrupt, and dismantle criminal organizations posing a significant threat to border security. CBP personnel are supporting these taskforces (known as Border Enforcement Security Taskforces) at all 11 established Southwest land border sites.

In FY2011, CBP detailed approximately 165 CBP officers to the Southwest Border POEs to support port operations, to include conducting 24/7 southbound operations. The intent of these temporary details is to utilize a collaborative enforcement approach that leverages the capabilities and resources of federal, tribal, state, and local law enforcement and public service agencies against individuals and criminal organizations that are involved in cross border activity.

### **Intelligence and Targeting (LOB 4)**

The FY 2013 request includes funding for the following subprograms within LOB 4: Automated Targeting Tools and Technology, and National Security Targeting.

## **National Security Targeting**

### **Passenger Analysis Unit (PAU)**

The PAUs are responsible for all local coordination and provide support to the NTC-P by serving as the point of contact for the processing of Terrorist Screening Data Base (TSDB) matches, any identified threats to civil aviation and any other national security related issues. Additionally, PAUs conduct local advanced targeting on travelers who may be narcotics or currency smugglers, criminal aliens, immigration violators or any other subject of interest. The PAUs regularly serve as an agency point of contact for local law enforcement and investigative agencies.

### **Advanced Targeting Unit (ATU)**

The primary focus of the ATU is to identify shipments that pose a possible threat to the national security of the United States and determine the CBP operational response to those possible threats. The primary and imminent threat relates to terrorists and instruments of terrorism. Other threats include smuggling of narcotics and other contraband, alien smuggling, fraudulent documents, agricultural threats, and shipments that pose a threat to the economic security of the United States.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Harbor Maintenance Fee Collection (Trust Fund)  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Harbor Maintenance Fee Collection (Trust Fund)**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>3,226</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>3,274</b>
2013 Adjustments-to-Base	-	-	11
<b>2013 Current Services</b>	-	-	<b>3,285</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>3,285</b>
Total Change 2012 to 2013	-	-	11

CBP requests \$3.285 million in FY 2013 for the Harbor Maintenance Fee Collection PPA

- An increase of \$11,000 for the FY 2013 Pay Increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Harbor Maintenance Fee is an Army Corps of Engineers (COE) fee, which is collected for the operation and maintenance, as well as improvements, of U.S. channels and harbors. CBP is reimbursed for a portion of the costs associated with the collection of the fee for COE. This collection is part of CBPs Enforce Trade Law and Collect Revenue subprogram within the Securing and Facilitating Flows of Cargo Line of Business.



**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
International Cargo Screening  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: International Cargo Screening**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>440</b>	<b>426</b>	<b>106,942</b>
<b>2012 Enacted Budget Authority</b>	<b>374</b>	<b>368</b>	<b>74,557</b>
2013 Adjustments-to-Base	-	-	(16,055)
<b>2013 Current Services</b>	<b>374</b>	<b>368</b>	<b>58,502</b>
2013 Program Change	-	-	13,032
<b>2013 Total Requested Budget Authority</b>	<b>374</b>	<b>368</b>	<b>71,534</b>
Total Change 2012 to 2013	-	-	(3,023)

The President’s Budget requests \$71.534 million for International Cargo Screening. This is a decrease of \$3.023 million over the FY2012 Enacted Budget. The request includes:

- A decrease of -\$14.774 million for a realignment of funding within Salaries and Expenses from the International Cargo Screening PPA to the Other International Programs PPA
- An increase of \$13.032 million for CSI
- An increase of \$138,000 for the FY 2013 Pay Increase
- A decrease of -\$1.419 million for a reduction associated with CSI circuit efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The PPA International Cargo Screening supports Line of Business (LOB) 2, Securing and Facilitating Flows of Cargo, and it supports LOB 3, Securing and Facilitating the Flows of People.

**Securing and Facilitating Flows of Cargo (Line of Business 2)**

The FY 2013 request includes funding for the Cargo Conveyance Entry subprogram within LOB 2. This subprogram supports the Office of Field Operations (OFO) Strategic Plan goal to ensure border security, prevent terrorism, and strengthen international cooperation through Container Security Initiative (CSI) and Secure Freight Initiative (SFI) activities.

The synergy between the CSI and SFI programs have resulted in a blended approach to targeting and inspecting high-risk cargo before reaching a U.S. port. The rebalancing of these programs will allow

CBP to optimize its resources and efforts to synchronize, streamline and advance operations and technology in a more efficient manner with limited resources.

### **Container Security Initiative**

Since CSI was unveiled in January 2002, it has been part of our government's strategy to secure the nation from the potential terrorist threat of using maritime cargo containers. The CSI program continues to foster partnerships with other countries and our trading partners in order to inspect high-risk shipments before they are loaded on vessels bound for the U.S. CBP through CSI ensures effective coordination with host countries by conducting periodic risk evaluations of ports to assess the level of staffing and other resource needs. CBP encourages interagency cooperation by developing a capacity to collect and share information and trade data gathered from CSI ports.

CSI is the only multinational program in the world protecting the primary system of global trade – maritime containerized shipping – from being exploited or disrupted by international terrorists. Operational in 58 ports, CSI facilitates screening of over 80% of the volume of maritime cargo destined for the U.S. by using automated tools to identify containers that pose a potential risk and using technology to scan these containers for radiological or nuclear material without impeding the flow of trade. CBP has shifted from the initial CSI operating protocols (which were heavily dependent on the placement of U.S. personnel overseas) to a more technology-based approach, relying on the National Targeting Center-Cargo (NTC-C) to conduct more bill review and targeting.

CSI personnel screen and evaluate containers before they are shipped. The shipments are screened as early in the supply chain as possible, generally at the last port of lading. Using technology to scan high-risk containers, CSI ensures rapid scanning without impeding the flow of trade. CSI technology includes large-scale X-ray, gamma ray machines, and radiation detection devices. In FY 2013, CSI will become a hybrid of different operational models to include traditional inspectional staffing with CBP personnel at foreign ports and remote targeting utilizing hubs in foreign locations, and remote targeting from the NTC-C with no foreign personnel and reciprocal arrangements.

CSI will enter into these hybrid operational models by ensuring the following:

- CSI will monitor overseas deployments and ensure that the proper numbers of personnel are stationed at each foreign port where the traditional inspectional model is utilized.
- CSI will maintain staffing levels at the NTC-C to ensure 100% review of all shipments prior to lading on a vessel destined to the U.S.
- CSI will look to expand targeting beyond the traditional weapons of mass effect to include trade violations and other trans-national criminal activity; this will be dependent on the host country's willingness to expand targeting beyond the current declaration of principles.
- CSI will expand to additional countries of strategic interest within current budget constraints.

### **Secure Freight Initiative**

The SFI system aims to scan all containers destined for the United States using Radiation Portal Monitors (RPMs) and NII scanners. The SFI personnel perform the following steps within the process: (1) electronically transmit scanned images and information for evaluation and analysis; (2) resolves all radiation alarms according to alarm resolution procedures; (3) utilizes the information collected to enhance the ATS or other relevant programs; (4) stores the information for later retrieval and analysis;

and (5) provides an automated notification of questionable or high-risk cargo as a trigger for further inspection by appropriately trained personnel.

SFI operations at pilot locations have afforded CBP the opportunity to further test possible solutions to the complex challenges posed by scanning 100 percent of U.S.-bound maritime containers, particularly at transshipment and high-volume ports. While the data can be useful, operational costs are significant even in these limited environments. CBP has documented numerous challenges associated with implementing 100 percent scanning including diplomatic challenges, international opposition, port reconfigurations, potential for reciprocal requirements on the U.S. and lack of available technology to efficiently scan transshipped cargo. DHS understands the need to proceed with container security programs in a responsible, practical manner that maximizes the security of U.S.-bound maritime cargo but believes an effective risk-based strategy will best ensure we achieve that goal. To that end, CBP has ceased SFI operations at the ports of Southampton, United Kingdom; Puerto Cortés, Honduras; Salalah, Oman and Busan, South Korea and is currently using CSI protocols of risk-based targeting in those locations.

Port Qasim, Pakistan, continues to showcase the success of the SFI program in a country where the government and terminal operators are very supportive of the initiative. In FY 2013, SFI will maintain operations in Qasim, Pakistan. CBP continues to explore options for upgrading the equipment in Port Qasim.

## **Overseas Program**

The Overseas Program (or the Program) supported 21 CBP Attaché offices in FY 2011. By advancing strategic partnerships, the Program promotes CBP initiatives and activities overseas that safeguard the American homeland well beyond our borders, while facilitating legitimate trade, The CBP Attachés perform the following duties:

- Fulfill the role of CBP officers for cargo security and trade facilitation purposes;
- Serve as liaisons to other U.S. government agencies and host government authorities on any and all matters relating to cargo security of interest to CBP; and
- Support and oversee all CBP personnel and program in-country, including the Container Security Initiative, Secure Freight Initiative and capacity building efforts.

The partnerships with foreign governments/agencies, international organizations, and U.S. agencies supported by CBP Attachés enhance CBP's ability to mitigate and avoid risks related to cargo security, and trade enforcement in a systematic. More concretely, the Attachés foment strong relationships with CSI/SFI host government officials and allow CBP to facilitate customs reform and modernization through training and technical assistance. These partnerships also facilitate information-sharing with a focus on areas of mutual interest to both CBP and its foreign counterparts, such as preventing, detecting and interdicting illegal shipments

## Description of Selected Adjustments to Base

Realignment of Funding to Other International Programs PPA:

Beginning in FY 2013, the funding associated with activities performed by the Attaché offices to support CSI and SFI will be in the International Cargo Screening PPA. The Other International Programs PPA will fund the Attaché offices that do not directly support the CSI and SFI programs. The attachés perform support to multiple programs including CSI and SFI. This change better represents the overall efforts of these personnel.

#### Reduction from CSI Circuit Efficiencies:

Beginning in FY 2013, CBP will increase efficiencies in CSI dedicated circuits at overseas ports. CBP has worked with the Office of Information Technology (OIT) to conduct an analysis of the dedicated circuits at CSI ports. CBP has identified circuits that have been under utilized in past years and will be able to downgrade some of these circuits without negatively impacting CSI operations. CSI will also implement central hubs and remote targeting in selected countries where CSI has multiple locations. This will allow CBP to disconnect the circuits in the remote CSI ports as they will no longer be staffed with CBP personnel.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Other international programs  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Other international programs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>60</b>	<b>59</b>	<b>12,091</b>
<b>2012 Enacted Budget Authority</b>	<b>72</b>	<b>72</b>	<b>10,684</b>
2013 Adjustments-to-Base	-	-	14,182
<b>2013 Current Services</b>	<b>72</b>	<b>72</b>	<b>24,866</b>
2013 Program Change	-	-	2,218
<b>2013 Total Requested Budget Authority</b>	<b>72</b>	<b>72</b>	<b>27,084</b>
Total Change 2012 to 2013	-	-	16,400

CBP requests 72 positions, 72 FTE, and \$27.084 million in FY 2013 for the Other International Programs PPA

- A decrease of -\$46,000 for a DHS Management Efficiency
- An increase of \$67,000 for the FY 2013 Pay Increase
- A decrease of -\$64,000 for DHS Management efficiencies regarding Strategic Sourcing Initiatives
- A decrease of -\$70,000 for DHS Management efficiencies regarding PCS Costs
- A decrease of -\$316,000 for DHS Management efficiencies regarding OFPP-Directed Purchasing Savings
- An increase of \$2.218 million for an enhancement to the Office of International Affairs
- An increase of \$14.774 million for a realignment of funding within Salaries and Expenses from the International Cargo Screening PPA to the Other International Programs PPA
- A decrease of -\$155,000 for a DHS Management Efficiency regarding TDY and Travel
- A decrease of -\$8,000 for a DHS Management Efficiency regarding overtime

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of International Affairs (INA) is CBP's lead for coordinating foreign initiatives, programs, and activities funded within the Other International Programs PPA, which contributes to Line of Business 6, Mission Support. INA administers several international *partnership* programs and 21 CBP Attaché offices that support the U.S. Government's security objectives in anti-terrorism, border

security, export controls, non-proliferation, and customs and immigration policy. In addition, INA is charged with engaging trade partners and the broader international community to facilitate foreign and international trade for the U.S. CBP's international programs serve as the conduit for CBP's participation in international forums such as the World Customs Organization (WCO), and in regional bodies such as the Asia-Pacific Economic Cooperation (APEC) forum. These programs provide the platform for the negotiation of agreements, memoranda of understanding and letters of intent. CBP's key objectives for its international programs are:

- Develop, promote, and implement CBP's international strategy;
- Negotiate international agreements and other instruments for CBP;
- Advance CBP's international policy initiatives in international forums; and
- Develop and maintain strategic international relationships

INA's efforts contribute to CBP's overall mission of securing America's borders and securing and facilitating the flow of goods and movement of people. INA strives to extend U.S. borders by implementing programs and initiatives that promote anti-terrorism, global border security, non-proliferation, export controls, immigration, capacity building, and facilitating legitimate trade. INA focuses on international cooperation and strengthening multi- and bi-lateral relationships to achieve international agreements and joint efforts that both facilitate and secure legitimate trade and travel. INA promotes expansion of the WCO Security and Facilitation in Global Environment (SAFE) Framework of Standards by providing targeted countries with training and advisory support through programs such as Capacity Building and Export Control and Border Security (EXBS). Additionally, INA identifies, develops, implements, and coordinates specialized training and developmental assistance programs for foreign customs and other law enforcement officials and organizations. INA provides in-country advisory support for broad-based customs reform and modernization and ensures CBP is represented at overseas posts and influencing policy throughout the world.

The CBP Overseas Program is composed of Attaché offices located in U.S. Embassies and Consulates in 21 countries. The Overseas Program is dedicated to supporting CBP programs and activities overseas that safeguard the American homeland from beyond our borders, while facilitating lawful trade, travel, and immigration. CBP Attachés:

- Serve as the primary representatives of the CBP Commissioner in-country, informing the U.S. ambassador or consular officer at post about CBP programs and capabilities;
- Fulfill the role of CBP officers for security, immigration, and trade facilitation purposes;
- Serve as liaisons to other U.S. government agencies and host government authorities on any and all matters of interest to CBP;
- Support and oversee all CBP personnel and program in-country, including the Container Security Program, Immigration Advisory Program, the Customs-Trade Partnership Against Terrorism, and capacity building efforts;
- Handle inquiries and requests for CBP assistance from the trade industry and the traveling public, including on issues such as intellectual property rights, boarding letters, malafide intercepts, and fraudulent documents; and
- Support CBP employees traveling overseas.

The Overseas Program builds strategic partnerships with foreign governments and enhances the ability of CBP to address risks related to cargo security, travel, and trade enforcement. CBP Attachés work

diligently on focusing on programs related to immigration threat. Specific programs include Automated Targeting System-Global (ATS-G), IAP and Global Entry (GE). The CBP Attaché is actively promoting these programs with our foreign counterparts.

The presence of a CBP Attaché overseas fosters strong relationships with host government officials and allows CBP to facilitate customs reform and modernization through training and technical assistance. Each CBP Attaché develops contacts within the host government customs and immigration community and is able to arrange high-level meetings for visiting U.S. delegations. These contacts allow CBP to cooperate in the sharing of criminal intelligence and best practices with foreign customs and immigration agencies. The Overseas Program contributes to CBP's strategic objective of building and maintaining essential partnerships with foreign government/agencies, international organizations, and U.S. agencies. These partnerships facilitate information-sharing with a focus on areas of mutual interest to both CBP and its foreign counterparts, such as preventing the entry of known terrorists and illegitimate travelers as well as detecting and interdicting illegal shipments.

#### Description of Selected Adjustments to Base

##### Realignment of Funding to Other International Programs PPA:

Beginning in FY 2013, the funding associated with activities performed by the Attaché offices to support the CSI and SFI will be in the International Cargo Screening PPA. The Other International Programs PPA will fund the Attaché offices that do not directly support the CSI and SFI programs. The attachés perform support to multiple programs including CSI and SFI. This change better represents the overall efforts of these personnel.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**C-TPAT**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: C-TPAT**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>279</b>	<b>270</b>	<b>44,520</b>
<b>2012 Enacted Budget Authority</b>	<b>248</b>	<b>244</b>	<b>44,979</b>
2013 Adjustments-to-Base	-	-	103
<b>2013 Current Services</b>	<b>248</b>	<b>244</b>	<b>45,082</b>
2013 Program Change	-	-	(5,000)
<b>2013 Total Requested Budget Authority</b>	<b>248</b>	<b>244</b>	<b>40,082</b>
Total Change 2012 to 2013	-	-	(4,897)

The President’s Budget requests \$40.082 million for C-TPAT. This is a decrease of \$4.897 million over the FY2012 Enacted Budget. The request includes:

- A decrease of -\$5.0 million for a reduction associated with extending the C-TPAT validation cycle to 4 years
- An increase of \$103,000 for the FY 2013 Pay Increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Customs-Trade Partnership Against Terrorism (C-TPAT) supports Line of Business 2, Securing and Facilitating Flows of Cargo. C-TPAT is CBP’s premier cargo and conveyance entry program. Cargo and Conveyance Entry programs provide CBP greater flexibility in shifting functions away from the physical border, allowing CBP to intercept potential threats before they can cause harm, while also expediting legal commerce. C-TPAT helps the agency achieve its twin goals—security and facilitation of trade moving into the United States.

The C-TPAT program helps to promote trade security by developing partnerships with members of the trade community. The purpose of C-TPAT is to partner with the trade community to secure the U.S. and international supply chains from possible intrusion by terrorist organizations. C-TPAT requires trade community participants to document and validate their supply chain security procedures in relation to existing C-TPAT criteria or guidelines, as applicable. Companies participating in C-TPAT develop an internal process to validate the existence of security measures documented in their Supply Chain Security Profile and in any supplemental information provided to CBP. As a part of the process, C-TPAT Supply Chain Security Specialists (SCSS) and C-TPAT participants jointly conduct a



validation of the company's supply chain security procedures. The validation process is essential to verify the company's commitment to C-TPAT.

C-TPAT's SCSS conduct validations, identify supply chain security vulnerabilities, and work to monitor company initiatives that address those vulnerabilities. Validations conducted by SCSS determine the accuracy and effectiveness of a company's security profiles. The validation process is essential to verify the company's commitment to C-TPAT and ensure that best practices and procedures implemented by the company are reliable, accurate, effective and meet the agreed upon security standards.

To better secure and facilitate the flow of goods into the United States, CBP will continue to ensure that existing and new C-TPAT partners fulfill their commitments by verifying that agreed upon security measures have been implemented. CBP will also continue to work with C-TPAT partners to finalize minimum applicable supply chain security criteria and security best practices. C-TPAT teams travel around the globe to visit partners, their vendors, and vendors' plants to validate that supply chain security meets C-TPAT minimum security criteria. They also ensure that best practices and procedures used are reliable, accurate, effective, and meet the agreed upon security standards. CBP will continue to provide tools and create incentives for the private sector to join C-TPAT, which is a prerequisite for the Free and Secure Trade (FAST) program and other CBP expedited processing programs

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Trusted Traveler Programs (TTP)  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Trusted Traveler Programs (TTP)**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>10,750</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>6,311</b>
<b>2013 Current Services</b>	-	-	<b>6,311</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>6,311</b>
Total Change 2012 to 2013	-	-	-

The President's Budget requests \$6.311 million for Trusted Traveler Programs

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Trusted Traveler Programs PPA supports Line of Business (LOB) 3, Securing and Facilitating the Flows of People. The FY 2013 request includes operations and maintenance funding for the Pre-Arrival Processing subprogram within LOB 3. CBP's pre-arrival processing programs (Trusted Traveler Programs (TTP), NEXUS Highway and Air, Secure Electronic Network for Traveler's Rapid Inspection (SENTRI), Free and Secure Trade (FAST), Global Entry (GE) and Global Enrollment System (GES) help to improve the targeting, screening, and apprehension of high-risk international travelers, thereby preventing terrorist attacks and criminal activity while expediting the processing of legitimate travelers.

**Trusted Traveler Programs**

Since the terrorist attacks of September 11, 2001, CBP has placed great emphasis on developing and expanding TTP for passengers and commercial truck drivers at the land borders with Canada and Mexico, and developing similar programs for international air passengers. TTP helps to identify low-risk, vetted travelers by the voluntary submission of an application and subsequent vetting using automated name and fingerprint-based checks of law enforcement databases, fingerprint/name checks, and an interview with a uniformed officer. The TTP programs continue to expand and include a total of 1,133,532 members as of September 30, 2011. Currently, TTP is comprised of four programs – NEXUS, SENTRI, FAST, and Global Entry (GE) which are discussed below.

### NEXUS Highway and Air

NEXUS, a joint US/Canada enrollment program at the Northern Border land POE and at all Canadian preclearance ports, identifies low-risk travelers through: a complete biographic check; an interview with a CBP officer and a Canada Border Security Agency (CBSA) officer; and a fingerprint check. Once applicants are identified as low-risk they are enrolled in the NEXUS program and given a Radio Frequency Identification (RFID)-enabled card that is unique to the traveler. The RFID-enabled card allows the traveler to use specified primary lanes at land border ports of entry that are reserved for NEXUS enrollee use. At the Canadian preclearance airports, passengers use kiosks instead of dedicated lanes, and iris scans are utilized to identify low risk travelers rather than RFID-enabled cards. At the time of enrollment, travelers qualify for trusted traveler status in all modes of travel (air, sea, and land). The introduction of WHTI lane technology has provided local managers with the flexibility to add and subtract dedicated lanes to fit traffic demand. As of September 30, 2011, CBP had 589,871 NEXUS members. The enrollment is expected to increase to 650,000 members in FY 2012.

### Secure Electronic Network for Traveler's Rapid Inspection (SENTRI)

On the Southwest Border SENTRI provides expedited CBP processing for pre-approved, low-risk travelers. Applicants must voluntarily undergo: a thorough biographical background check against criminal, law enforcement, customs, immigration, and terrorist indices; a 10-fingerprint law enforcement check; and a personal interview with a CBP officer.

Once applicants are approved they are issued a RFID that will identify their record and their status in the CBP database upon arrival at the U.S. POEs. A sticker decal is also issued for the applicant's vehicle or motorcycle. SENTRI users have access to specific, dedicated primary lanes into the United States.

The SENTRI program was first implemented at Otay Mesa, CA in 1995, and has grown to include a total of 17 lanes at the ten largest southern border POEs along the U.S.-Mexico border. As of September 30, 2011 there are 263,937 SENTRI members, and that number is expected to grow to 275,000 members in FY 2012. SENTRI members currently account for 14% of all cross Southwest border traffic.

### Free and Secure Trade (FAST)

FAST is the cargo equivalent of the SENTRI and NEXUS facilitative programs in the passenger environment. Through FAST, importers, commercial carriers, truck drivers, and manufacturers who enroll in the program and meet agreed upon security criteria, including participation in the C-TPAT, are entitled to expedited clearance at a POE. Using electronic data transmission and transponder technology, CBP expedites clearance of approved trade participants. The FAST program fosters more secure supply chains and enables CBP to focus security efforts and inspections on high-risk commerce, where they are needed most. As of September 30, 2011 FAST has 79,344 members and assumes approximately the same total membership in FY 2012.

### Global Entry (GE)

CBP designed GE to allow for expedited clearance of pre-approved low-risk air travelers into the U.S. Through the use of automated kiosks placed in the Federal Inspection Services area of each identified airport, enrolled travelers are able to bypass queues and process through Passport Control without

having to see a CBP officer. This program facilitates entry into the United States, and is especially beneficial to frequent international flyers. Currently, GE is available at Atlanta, Boston, Dallas/Ft. Worth, Washington Dulles, Chicago, Detroit, Ft. Lauderdale, Honolulu, Houston, Las Vegas, Los Angeles, Miami, Newark, Chicago, New York (JFK), Orlando, Philadelphia, Sanford (FL), San Juan, San Francisco, and Seattle airports.

GE applications and enrollments are growing quickly. As of September 30, 2011, GE has 200,380 members and expects that number to grow to 275,000 in FY 2012. In 2012, CBP plans to expand Global Entry to 16 additional airports. Since April 2009, CBP has operated a joint pilot with the government of the Netherlands that allows qualified U.S. citizens to join Privium, the Dutch trusted traveler program, and allow Dutch citizens to join GE. Participants in this pilot must pass vetting by both CBP and the Netherlands government. On December 29, 2010, a Federal Register Notice was published announcing the expansion of GE eligibility to Mexican Nationals. Participants in this pilot must pass vetting by both CBP and Mexican government officials. In June of 2011, CBP began implementing a limited pilot with the United Kingdom (UK), allowing UK citizens to participate in GE. UK applicants are subjected to vetting by both CBP and the UK government officials.

CBP has signed joint statements with Germany and Korea, laying the framework for the development of trusted traveler's arrangements with each of these countries. CBP is working with representatives from these governments to develop individual bilateral arrangements to enable trusted travelers from either country to receive expedited clearance when traveling.

### **Global Enrollment System (GES)**

CBP has developed GES for all CBP Trusted Traveler Programs to be operational on the CBP national network. GES has integrated the independent CBP enrollment and validation processes into a single solution, and it provides a more efficient platform to share data and perform real-time watch list and lookout checks.

GES also reduces the redundancy of maintaining several application processes, and it allows for a quicker and more accurate applications process. CBP has developed a single online, paperless application process to support the GES and will allow a traveler to apply to multiple programs online. The on-line application Global On-Line Enrollment System supports all TTP applications.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Inspection and Detection Technology  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Inspection and Detection Technology**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>52</b>	<b>49</b>	<b>139,849</b>
<b>2012 Enacted Budget Authority</b>	<b>52</b>	<b>50</b>	<b>148,537</b>
2013 Adjustments-to-Base	-	-	10
<b>2013 Current Services</b>	<b>52</b>	<b>50</b>	<b>148,547</b>
2013 Program Change	-	-	(30,972)
<b>2013 Total Requested Budget Authority</b>	<b>52</b>	<b>50</b>	<b>117,575</b>
Total Change 2012 to 2013	-	-	(30,962)

The President’s Budget requests \$117.575 million for Inspection and Detection Technology. This is a decrease of \$30.962 million over the FY 2011 Enacted Budget. The request includes:

- An increase of \$10,000 for the FY 2013 Pay Increase
- A decrease of -\$30.872 million for a reduction to Non-Intrusive Inspection operations and maintenance
- A decrease of -\$100,000 for a reduction to management and administration staffing & services

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Inspection and Detection Technology PPA supports Line of Business (LOB) 2, Securing and Facilitating Flows of Cargo, and LOB 3, Securing and Facilitating Flows of People. The FY13 requests includes funding for the CBP NII Technology subprogram which supports cargo and conveyance entry activities and inbound inspection activities.

CBP has long recognized that an adversary can defeat any single system or device. For this reason, CBP cannot rely on any single technology or inspection process. Instead, CBP uses various technologies in different combinations to substantially increase the likelihood of detecting a nuclear or radiological weapon or elements of these weapons, and illegal aliens or other contraband being smuggled across the U.S. borders. NII technologies are viewed as force multipliers that enable CBP officers to screen or examine a larger portion of the stream of commercial traffic while maintaining the flow of legitimate trade, cargo, and travelers.

Since September 11, 2001, NII technology has been a cornerstone of CBP's multi-layered enforcement strategy. Technologies currently deployed at and between our Nation's POEs include large-scale X-ray and Gamma-ray imaging systems, as well as a variety of portable and handheld technologies, to include radiation detection technology.

CBP has 299 large-scale imaging systems deployed at and between our POEs. There are also a total of 5,199 small-scale NII units, 1,465 Radiation Portal Monitors (RPMs), 2,437 Radiation Isotope Identification Devices (RIIDs) and 24,418 Personal Radiation Detectors (PRDs) deployed nationwide.

Each year, a number of POEs undergo reconfigurations in which the lanes of traffic that contain NII equipment and/or RPMs are moved or altered. Additionally, a number of port expansions where new lanes of traffic requiring new technologies are added. Typically these reconfigurations and port expansions account for approximately 20 percent of deployment efforts.

The Operations and Maintenance (O&M) funding for NII provides maintenance support at approximately 600 locations throughout the U.S. and its territories. These funds will ensure the deployed NII technologies meet the expected operational requirements of CBP, as well as, the requirements as defined in the Federal Information Systems Management Act (P.L. 107-347). Additionally, these funds will ensure installation of mandated security and vendor upgrades while providing CBP with the means to dispose of obsolete NII systems as mandated by Federal regulations.

The O&M funds requested will also support the RPM program to upgrade sites to be Port Radiation Inspection Detection and Evaluation (PRIDE) compliant. In addition, the funds will be used to support RPM systems that are reaching the end of their life cycle and to supplement the interdiction systems with ancillary equipment and components to enhance their capability. RPMs are an integral component of the CBP interdiction efforts because they identify illicit radiological materials and provide capabilities to prevent their entry into the United States.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Systems for Targeting  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Systems for Targeting**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>39</b>	<b>36</b>	<b>32,376</b>
<b>2012 Enacted Budget Authority</b>	<b>34</b>	<b>32</b>	<b>41,400</b>
2013 Adjustments-to-Base	-	-	7,006
<b>2013 Current Services</b>	<b>34</b>	<b>32</b>	<b>48,406</b>
2013 Program Change	-	-	65,420
<b>2013 Total Requested Budget Authority</b>	<b>34</b>	<b>32</b>	<b>113,826</b>
Total Change 2012 to 2013	-	-	72,426

CBP requests 34 positions, 32FTE, and \$113.826 million for FY 2013 to support CBP Systems for Targeting. This program conducts activities in Line of Business (LOBs) 4 – Intelligence and Targeting that provides direct support to LOB 1, 2, and 3. Within LOB 4, Systems for Targeting focuses all of its resources toward development and maintenance of sub-program 4.1.2 – ATS.

- An increase of \$31.0 million for an enhancement to ATS operations and maintenance
- An increase of \$34.420 million for an enhancement to targeting systems and staff
- An increase of \$6,000 for the FY 2013 Pay Increase
- An increase of \$7.0 million for transfer of funding from ACE PPA to ATS PPA

**CURRENT SERVICES PROGRAM DESCRIPTION:**

At the core of CBP’s ability to achieve its critical border security objectives and maintain the flow of lawful commerce is the ability to identify high-risk travelers and goods for inspection while allowing the vast majority of law-abiding travelers and commerce to move through without unnecessary delay. Recent legislation and regulatory action, such as: the *Trade Act of 2002* (P.L. 107-210); the 24-hour rule, the *Aviation Transportation Security Act of 2001* (P.L. 107-71); the *Enhanced Border Security and Visa Reform Act of 2002* (P.L. 107-173); and the *SAFE Port Act*, have made it mandatory to provide advance information about travelers, conveyances, and goods arriving in the U.S. CBP uses computer technology and rule-based software to analyze the data provided for travelers, conveyances, and shipments arriving in the U.S. CBP applies its targeting methods against the data to determine which travelers, conveyances, or shipments need to be segregated for a closer look and possible intensive inspection.

The main platform used to perform this targeting analysis is the ATS. ACS, TECS and associated databases provide CBP officers (including those stationed overseas at Preclearance stations, CSI ports, and IAP locations) with advance notice of travelers, conveyances, and goods arriving at U.S. ports of entry. This allows them to cross-check passenger, crew, and cargo manifests against subject lookouts including those contained in the Terrorist Identities Datamart Environment (TIDE) and the NCIC. CBP also uses ATS to analyze data in AES on shipments leaving the U.S.

ATS enhances the TECS, ACS, and AES data by running rules developed by CBP's subject matter experts to identify travelers, conveyances, and shipments with high-risk travel patterns. ATS also allows CBP officers to conduct advanced queries of these and other government databases to reveal emerging threat patterns.

Currently, ATS consists of six modules that focus on exports, imports, travelers and crews (airline passengers and crew on international flights, passengers and crew on sea carriers), private vehicles crossing at land borders, and import trends over time. The six modules are: (1) ATS-Inbound, which serves as the primary decision support tool for inbound targeting of cargo; (2) ATS-Outbound, which is used for targeting outbound cargo and assists in identifying exports which pose a high risk of containing goods requiring specific export licenses, narcotics, or other contraband; (3) ATS-Passenger (ATS-P), which is used at all U.S. airports and seaports receiving international flights and voyages to evaluate passengers and crewmembers prior to arrival or departure; (4) ATS-Land (ATS-L) which provides analysis and rules-based risk assessment of private passenger vehicles crossing the nation's borders; (5) ATS-Trend Analysis and Analytical Selectivity which improves CBP's ability to examine, locate, and target for action violators of U.S. laws, treaties, quotas, and policies regarding international trade; and (6) ATS-International which provides foreign custom authorities with automated cargo targeting capabilities and provides a systematic medium for exchanging best practices and developing and testing targeting concepts.

Future targeting system enhancements will focus on increasing data collection from internal and external sources and improving geographical unit interface display capabilities. Targeting improvements will enable continuous, incremental improvement of the ATS helping to replace unproductive inspections and vetting operations (false positives) with more productive / more effective enforcement activities (successful seizures / apprehensions) and expansion to better mitigate known and emerging threats. Enhancement and expansion of CBP's targeting enterprise will provide front line personnel the ability to provide comprehensive risk assessments on the large volume of regulatory and commercial data generated by commercial entities, states and other government agencies to verify the identity of businesses, cargo, and persons using and crossing our borders. This can be achieved by rapidly institutionalizing deployed stop-gap measures by developing the advanced analytics capabilities to augment the "officer developed algorithms." Further expansion of the ATS capabilities to cover additional transportation modes, such as air and sea, will enhance agency-wide responsiveness to threats. This approach will allow CBP to continue facilitating the flow of legitimate passengers and cargo, while enhancing the capability to detect and prevent terrorist threats, and resolve IPR related issues. This could include expansion of ATS capabilities to other DHS component needs; such as Visa Overstay Vetting and Refugee Screening.



## Descriptions of Selected Adjustments to Base

### Realignment of Funding for Targeting Systems:

The transfer of \$7.0 million of funding from the ACE PPA to the ATS PPA will allow CBP to consolidate all targeting funding within the Systems for Targeting PPA. This PPA supports activities which give CBP the ability to achieve its critical border security objectives and maintain the flow of lawful commerce by identifying high-risk travelers and goods for inspection while allowing law-abiding travelers and commerce to move without unnecessary delay.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
National Targeting Center  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: National Targeting Center**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>348</b>	<b>337</b>	<b>47,111</b>
<b>2012 Enacted Budget Authority</b>	<b>397</b>	<b>359</b>	<b>51,950</b>
2013 Adjustments-to-Base	-	32	5,368
<b>2013 Current Services</b>	<b>397</b>	<b>391</b>	<b>57,318</b>
2013 Program Change	-	-	7,809
<b>2013 Total Requested Budget Authority</b>	<b>397</b>	<b>391</b>	<b>65,127</b>
Total Change 2012 to 2013	-	32	13,177

The President's Budget requests \$65.127 million for National Targeting Center. This is an increase of \$13.177 million over the FY2012 Enacted Budget. The request includes:

- An increase of \$5.197 million for annualization of the FY 2012 National Targeting Center enhancement
- An increase of \$7.980 million for an enhancement for the National Targeting Center
- A decrease of -\$171,000 for a reduction to Non-Intrusive Inspection operations and maintenance
- An increase of \$171,000 for the FY 2013 Pay Increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The PPA National Targeting Center supports Line of Business (LOB) 4, Intelligence and Targeting. This request includes the following activities which are funded within the National Security Targeting subprogram of LOB 4.

**National Targeting Center (NTC)**

NTC, which is housed in two facilities, supports CBP's goal to develop and implement an enhanced targeting strategy that more effectively and efficiently divides cargo and travelers according to the potential threat they pose. The NTC helps to integrate the Agency's diverse intelligence capabilities into a cohesive intelligence enterprise enabling CBP to serve the Nation as a premier intelligence-driven border law enforcement agency.

The NTC was created in November 2001 in response to the terrorist attacks of September 11, 2001 to provide advanced targeting, research and coordination between numerous law enforcement and

intelligence agencies in support of the CBP anti-terrorism mission. The NTC provides around-the-clock tactical targeting and analytical research support for CBP anti-terrorism efforts in both the passenger and cargo arenas.

CBP officers, Border Patrol agents, and import specialists, all experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments, primarily staff both NTC facilities. In addition to using existing databases and information to identify potential targets, the NTC also develops tactical targets from raw intelligence in support of CBP's mission to detect and prevent terrorists and terrorist weapons from entering the U.S. While the vast majority of travelers and goods are legitimate, both NTC facilities are designed to carefully examine the small minority of shipments and/or travelers that may be connected to terrorism or other transnational crimes, such as money laundering or narcotics smuggling.

### **Conduct Pre-Departure Screening of Passengers**

The NTC screens relevant information prior to a passenger's departure. NTC implements a key part of the CBP layered approach strategy to homeland security by extending U.S. borders outward and attempting to interdict possible terrorists, other *mala fide* travelers and cargo before they can board or be laded on a conveyance destined for the United States. NTC does this through the Pre-Departure Targeting program, as well as by providing 24-hour support for IAP officers posted at eight airports around the world, and conducting research and vetting on possible ESTA denials.

The NTC provides research and support for CBP's admissibility programs through: (1) the ongoing expansion of the IAP; (2) Pre-Departure and Outbound Targeting; (3) U.S. visa re-vetting; (4) the Refugee Processing Program; (5) ESTA, the expansion of the International Criminal Police Organization (INTERPOL) Stolen Lost Travel Document (SLTD) initiative and (6) a merger with the Alien Smuggling Interdiction (ASI) program and APIS. These efforts prevent such inadmissible high-risk passengers, cargo, and agriculture/bioterrorism threats from reaching U.S. ports of entry. The NTC also participates in public health, and information sharing initiatives with Canada, Mexico and the U K.

### **Pre-Departure Targeting**

The Pre-Departure Program was initiated on January 10, 2010, in an effort to identify high-risk passengers and keep them from boarding commercial carriers bound for the United States from overseas locations that do not have an IAP presence. In FY 2011, NTC reviewed 212,929 pre-departure records and kept 2,424 high-risk passengers off flights bound for the United States.

### **Immigration Advisory Program**

The IAP is now operational at eight airports in six countries (Amsterdam, Frankfurt, London-Gatwick, London-Heathrow, Manchester, Madrid, Tokyo-Narita, and Paris-Charles De Gaulle). NTC conducts research and refers the names and flight numbers of suspected high-risk passengers to IAP offices overseas. IAP officers screen the passengers to identify the targets referred from NTC and assist airlines to determine if passengers have the proper documents to enter the United States. With an expanded ATS-Passenger IAP Hotlist, more targets are being referred and more passengers are being denied boarding. In FY 2011, NTC reviewed 145,877 records and kept 757 high-risk passengers off flights bound for the United States.

### **Visa Re-Vetting**

In late March 2010, the NTC implemented the Visa Hotlist for re-vetting previously issued U.S. visas against No Fly, Terrorist Screening Database, Visa Revocation Records, Public Health, and DOS lookout records with terrorist related inadmissibility codes. Visa record matches for the categories listed above are referred to DOS for revocation of the visa, if necessary, while the NTC conducts additional research to identify possible associates. In FY 2011, NTC reviewed 12,301 records with 1,366 positive matches for subjects that did not have visa revocation records, which were forwarded to the DOS for possible action. DOS revoked 1,093 visas out of the 1,366 referred by the NTC.

### **Office of Alien Smuggling Interdiction (ASI)**

CBP established ASI in 2006 to expand the nation's zone of security beyond physical U.S. borders by preventing the boarding of individuals traveling to the U.S. who may be inadmissible or traveling on fraudulent or fraudulently obtained travel documents. ASI deters, detects, and disrupts illegal migration to the United States by focusing on migratory trends utilized to facilitate human smuggling and trafficking. ASI reduces the threat to our nation's security by combating illegal migration, disrupting organized smuggling operations, and identifying and preventing clandestine terrorist travel.

ASI continually maintains and develops relations with other government entities to identify and explore areas to enhance cooperation and information sharing between partners. ASI represents the Agency at the interagency Human Smuggling and Trafficking Center (HSTC or the Center). ASI representatives regularly provide intelligence and analysis information to the Center management. In addition, to support and advance CBP and the Center cooperation, ASI representatives are sent to the Center once a week. ASI actively participates in the DHS Blue Campaign to fight against human trafficking; ASI representatives have been working on a Blue Campaign derivative name Blue Lightening. Blue Lightening is an initiative that seeks to educate flight attendants to recognize potential victims of human smuggling.

### **Regional Carrier Liaison Group (RCLG)**

CBP's RCLGs are located at the international airports in New York (JFK), Miami and Honolulu. The RCLGs augment the NTC mission by preventing passengers who may be inadmissible, or who possess fraudulent documents, from traveling to the U.S. RCLGs also work closely with air carriers to facilitate boarding of bona-fide passengers and provide 24/7 assistance on immigration related issues. RCLG officers prevent fraudulently and improperly documented aliens from boarding U.S. bound aircraft through various targeting methods and by working with carriers and U.S. government representatives overseas. RCLG officers make recommendations to the carriers against boarding (offloading) suspect travelers and to refer these travelers to local authorities in all instances involving fraud. RCLGs provide a service to the travel industry by assisting carriers with boarding questions, and providing expert guidance on suspect passengers. The travel industry has come to rely on RCLGs as a means to navigate complicated immigration laws and as a resource for fraud prevention. Since the December 25, 2009 attempted terrorist attack, the RCLGs have taken on a greater role as part of CBP's expanded Pre-Departure Screening program and in FY 2011, RCLGs answered over 24,000 phone calls from air carriers and offloaded nearly 3,000 passengers bound for the United States, of which 240 were fraud related.

### **Electronic System for Travel Authorization (ESTA)**

The Implementing Recommendations of the 9/11 Act, requires all nationals or citizens of VWP countries, who plan to travel to the United States for temporary business or pleasure, to obtain an electronic travel authorization prior to boarding a U.S.-bound commercial flight or cruise ship. The ESTA website began accepting voluntary applications in July 2008 and the program became mandatory for travelers from the 37 VWP countries in January 2009. In FY 2011, 11.1 million ESTA applications were received with 10.9 million approved and 200,103 denied.

### **United Kingdom Border Agency (UKBA)/National Border Targeting Centre (NBTC) Memorandum of Understanding (MOU)**

DHS and the UKBA finalized an information sharing MOU in September 2008. The goal of information sharing between NBTC and NTC is to enhance border security for both countries by exchanging critical passenger information in order to disrupt the movement of criminals and terrorists, deter alien and contraband smugglers and identify those using fraudulent or stolen travel documents. NTC continues to have an exchange/liaison officer posted at the NBTC in Manchester, UK who works closely with the UKBA, as well as, other UK enforcement agencies and U.S. Embassy representatives including the DHS, CBP, ICE and Legal Attaches. As a result of the MOU, 296 Intelligence and Operations Framework System events were created in FY 2011, and NTC personnel have been involved in several joint agency anti-currency smuggling operations.

### **Outbound Targeting**

In an effort to isolate high-risk shipments in the export environment, NTC conducts daily outbound and in-transit cargo reviews which target shipments such as personal effects destined to high risk countries, controlled chemicals, and strategic equipment used in the production of WMD. Proliferation history demonstrates that countries developing WMD programs rely on imports of special equipment, materials, and components. NTC has implemented targeting tools to identify possible dual-use and licensable commodities destined to foreign entities of national concern to the United States. A recent decision to place greater emphasis on outbound passenger targeting has resulted in several high profile successes, including the apprehension of the Times Square bomber and an alleged serial killer as they attempted to take flights out of the United States.

### **Conduct Pre-Departure Screening of Cargo**

The NTC screens relevant information prior to cargo departure. The NTC also provides cargo research and analysis on positive TSDB passengers, responds to research requests from CBP domestic and CSI ports, and conducts cargo research for NTC liaisons. Additionally, the NTC: conducts national cargo sweeps in the ATS; supports Intelligence Driven Special Operations (IDSOs); and conducts WMD/Weapons of Mass Effect (WME), agro-terrorism, and bio-terrorism rules development. The NTC will continue to provide support to CSI and SFI programs. The NTC-C has dedicated staff to support and coordinate the International Container Security component of SFI. The program utilizes remote technology to facilitate near real time scanning and monitoring of cargo/containers destined to the U.S. from select foreign ports. Targeting decisions are made based on container images, radiation alarm profiles, and cargo descriptions provided from overseas.

### **Air Cargo Advance Screening (ACAS)**

The ACAS project was launched in November 2010 after the October 28, 2010 attempt to ship explosive devices through express consignment air cargo from Yemen. The NTC became the sole entity responsible for conducting targeting and analysis on all express air cargo originating from 28 countries in the Middle East and North Africa. The ACAS team is staffed with both CBP and TSA targeting analysts who jointly target and mitigate air cargo identified as high risk before allowing it to be loaded onto an aircraft. Pre-departure targeting allows CBP to push U.S. borders outward by keeping high risk cargo off international conveyances destined to the United States. The ACAS pilot program began on December 13, 2010 with electronic transmissions of key shipment data from the first ACAS air carrier, United Parcel Service (UPS).

The ACAS team currently receives data from UPS, Federal Express (FedEx), Deutsche Post DHL (DHL), and TNT express air couriers on a voluntary, pilot program basis and is expanding the program to include additional air carriers and additional countries. Modeling the Importer Security Filing in the air environment, ACAS enhances air cargo security by obtaining air manifests in advance, thereby increasing the availability and volume of data on air cargo received.

### **Conduct Agriculture/Bioterrorism Cargo Screening**

The NTC supports all agriculture-related activities including tactical targeting, research, follow-up, reporting, analysis, coordination, and automated risk management, including all activities related to targeting and researching trade activities.

The NTC has experienced a significant increase in responsibilities since the Northwest Airlines incident, the attempted bombing in Times Square, and the October 28, 2010 attempt to ship explosive devices through express consignment air cargo from Yemen. After these events, CBP re-examined its passenger and cargo targeting strategy and as a result, re-engineered its operations with an increased emphasis on pre-departure targeting and interdiction without securing a change in the ability of the targeting centers to continually meet new requirements.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Training at the Ports of Entry  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Training at the Ports of Entry**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>13</b>	<b>13</b>	<b>20,706</b>
<b>2012 Enacted Budget Authority</b>	<b>36</b>	<b>35</b>	<b>37,834</b>
2013 Adjustments-to-Base	-	-	(2,974)
<b>2013 Current Services</b>	<b>36</b>	<b>35</b>	<b>34,860</b>
<b>2013 Total Requested Budget Authority</b>	<b>36</b>	<b>35</b>	<b>34,860</b>
Total Change 2012 to 2013	-	-	(2,974)

CBP requests 36 positions, 35 FTE, and \$34.860 million in FY 2013 for the Training PPA

- An increase of \$14,000 for the FY 2013 Pay Increase
- A decrease of -\$2.632 million for annualization of FY 2012 Field Operations positions to staff new ports of entry and to enhance operations
- A decrease of -\$356,000 for annualization of the FY 2012 National Targeting Center enhancement

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Training and Development (OTD) leads and directs CBP’s training programs which are designed to meet the needs of a diverse and geographically dispersed workforce. These programs support Line of Business (LoB) 6, Mission Support. The Mission Support LoB includes activities that support the primary mission of CBP, which encompasses CBP’s training related activities. This includes the development and conduct of training sessions that are tailored to meet the specific needs of all attendees. OTD establishes standards for designing, developing, delivering, and evaluating training, and executes career development programs; basic and advanced training to all occupations; and supervisory, management, and executive development programs.

As CBP’s lead for directing all CBP training programs and for developing centralized leadership programs, OTD prepares employees to carry out the core missions of CBP, continuing to evolve to meet the needs of DHS. By working with all CBP components to develop and deliver mission critical training, OTD prepares employees to protect America’s frontline. OTD links to CBP’s strategic goals to meet the ever changing challenges faced in the performance of mission critical operations.

### **Field Operations Academy (FOA)**

The FOA is located at the Federal Law Enforcement Training Center (FLETC) in Glynco, GA. The Academy is responsible for the development and delivery of mission critical training across the agency. The FOA prepares CBP trainees to safeguard the American homeland at and beyond our borders. This academy trains CBP employees from the Office of Field Operations, Office of Air and Marine, and the Office of International Trade to protect the American public against terrorists and the instruments of terror. The FOA educates CBP trainees to enforce the laws of the U.S. while fostering our Nation's economic security through lawful international trade and travel to serve the American public with vigilance, integrity and professionalism. Over 6,300 CBP officers have graduated basic training since 2008 including over 600 students in FY 2011.

### **Advanced Training Center (ATC)**

The ATC is a maturing facility designed to serve the specialized training needs of CBP. Located in Harpers Ferry, West Virginia, the ATC provides a learning environment that simulates the CBP operating environment and provides firearms and intermediate force training, advanced, and leadership training to CBP employees throughout the agency. The ATC complex includes facilities that are identical to the land, sea and air ports of entry, as well as open areas and water features found along the border between the ports of entry. Additionally, the new Global Borders College is housed at the ATC and is the critical mode for all advanced training and education for CBP leaders to develop the critical skills of strategic thinking, planning, ethical decision making and leadership required to defend our nation's borders. There are 21 total courses offered at ATC; these include Outbound Enforcement Training, Intermediate Use of Firearms, Supervisory Leadership Training, Crisis Action Team Training and Incident Command System as well as dozens of others. Due to the increase in advanced operational training requirements and other critical programs, student population has steadily increased since its first full year of training in 2006.

### **CBP Canine Program**

The CBP Canine Program is the largest civilian law enforcement canine training program in the country. With locations in El Paso, Texas and Front Royal, Virginia, CBP Canine furnishes certified training programs based upon internationally recognized standards. The Canine Center provides training and certification to CBP Canine Instructors, Canine Handlers, and Detection, Search & Rescue, and other Special Purpose Canines. It also provides training for various other local, state and Federal agencies based on requests and availability. These valuable canine resources enhance the agency's ability to combat terrorism, interdict narcotics, and other prohibited contraband while facilitating and processing legitimate trade and travel within the core operational processes of CBP. CBP Canine also continues to support the Merida Initiative providing much needed canine training support to the Government of Mexico (GoM).

### **OTD/Use of Force Policy Division (OTD/UFPD)**

The OTD/UFPD is responsible for the development, articulation and implementation of CBP use of force policy and related equipment. As the CBP lead for use of force and threat management policy, UFPD seeks to research, evaluate, and procure the best possible equipment while providing comprehensive asset and resource management for tactical equipment and body armor. The OTD/UFPD develops appropriate controls, standards, training, best practices and policies in order to enhance the safety and performance of CBP's uniformed law enforcement officers and agents.



### **OTD/Leadership and Organization Development Division (OTD/LODD)**

The OTD/LODD provides CBP leadership with the training, tools, and strategies to develop supervisory workforce in their current jobs and to prepare for future positions. As part of a structured and progressive leadership development strategy, LODD designs, develops, delivers, and evaluates training and development activities for CBP supervisors, managers, and executives supporting career development and succession management. OTD/LODD provides advanced leadership, supervisory, and management courses to meet organization, occupation, and individual needs including formal training, on-the-job developmental assignments, rotational opportunities, self-study and mentoring activities.

### **OTD/Operations Division (OTD/OPS)**

The OTD/OPS manages essential mission support activities to include budget, human capital, logistics and national programs, including the CBP Tuition Assistance Program and New Employee Orientation Program, in support of the CBP mission. The Division exercises budget authority for the National Training Plan and is responsible for the overall financial health of OTD.

### **OTD/Training Production and Standards Division (OTD/TPSD)**

The OTD/TPSD establishes and enforces a standardized instructional systems development process for delivering training throughout CBP. In coordination with all CBP offices, OTD develops a variety of training courses and curriculum designed to meet the needs of the agency while adhering to industry instructional design standards. The establishment and enforcement of standardized instructional systems and instructor development is crucial to accreditation efforts focused on ensuring OTD adheres to federal standards, regulations and statutes. These efforts are vital to ensure the agency's training programs are transparent, accountable and legally defensible. Presently, OTD has twelve programs accredited with five best practices for good governance. Overall training modes include instructor-led, on-the-job programs, distance learning through CBP's Virtual Learning Center (VLC) and tracking through the new Training Records and Enrollment Network (TRAEN) II system. The VLC provides a technological answer to distance learning.

### **Other Training**

OTD sponsors other basic and specialized training programs for various occupations within CBP. Examples of these types of training include Continuing Legal Education and Continuing Professional Education courses, Equal Opportunity Training for Counselors and Investigators, First Responder Course, and Supervisor Safety Training among dozens of others. These training programs are funded through the NTP but are often coordinated with other CBP organizations for scheduling, facilities, instructors, etc.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Border Security Control  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Border Security Control**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>23,104</b>	<b>22,683</b>	<b>3,683,893</b>
<b>2012 Enacted Budget Authority</b>	<b>23,301</b>	<b>23,306</b>	<b>3,530,994</b>
2013 Adjustments-to-Base	-	-	32,002
<b>2013 Current Services</b>	<b>23,301</b>	<b>23,306</b>	<b>3,562,996</b>
2013 Program Change	(29)	(29)	(11,156)
<b>2013 Total Requested Budget Authority</b>	<b>23,272</b>	<b>23,277</b>	<b>3,551,840</b>
Total Change 2012 to 2013	(29)*	(29)*	20,846

\* Decrease is due to efficiencies realized through the reduction of support personnel. It does not reduce frontline personnel.

CBP requests 23,272 positions, 23,277 FTE, and \$3,551.840 million in FY 2013 for the Border Security and Control PPA to support Southwest border, Northern border, and Coastal borders within Line of Business (LOB) 1, Securing America's Borders and to support Intelligence and Targeting, LOB 4 and Mission Enterprise Business Services, LOB 5. The FY 2013 funding is primarily for compensation and support costs for Border Patrol Agents and operational support personnel. The request includes:

- An increase of \$12.047 million for the FY 2013 Pay Increase
- A decrease of -\$14.130 million for a transfer to centralize utilities management
- An increase of \$19.377 million for annualization of the FY10 Border Security Supplemental
- An increase of \$1.235 million for annualization of FY 2010 Combating Southbound
- An increase of \$38.091 million for an increase in pay requirements due to lower Border Patrol Agent attrition
- An increase of \$8.0 million for an enhancement to ICE Medical Detention Support
- A decrease of -\$6.983 million for a DHS Management efficiency regarding OFPP-Directed Purchasing Savings
- A decrease of -\$9.589 million for consolidation of rent into the Rent PPA
- A decrease of -\$12.258 million for a reduction to CBP's Transportation Program
- A decrease of -\$1.300 million for a reduction for deactivation of 9 inland Border Patrol stations
- A decrease of -\$3.892 million for a DHS Management Efficiency regarding TDY and Travel

- A decrease of -\$1.750 million for a DHS Management efficiency regarding Strategic Sourcing Initiatives
- A decrease of -\$1.242 million for a DHS Management Efficiency
- A decrease of -\$4.048 million for a reduction to field support staff
- A decrease of -\$1.162 million for a DHS Management efficiency regarding PCS Costs
- A decrease of -\$1.550 million for a reduction to CBP fleet acquisition and management

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2012, CBP will implement a new Border Patrol approach focused on mission integration, information, intelligence, and rapid response capabilities in performing the mission of Securing America’s Borders. This new strategy involves the Border Patrol moving from a resource-dependent approach to border security to a risk- based approach that enables rapid response to areas of greatest risk in the immediate border area. The Border Patrol will deploy its capabilities to align with the threats along the border. This is a continuous process as threats adapt and change in response to Border Patrol operations.

Border Security and Control	FY 2013 Current Svc. (000)
BPA Salary & Benefits	\$3,071,896
Other Salary & Benefits	183,966
Non-personnel Costs	307,137
Total	\$3,562,996

CBP plans to maintain a staffing level of 21,370 Border Patrol agents during the fiscal year, consistent with the staffing requested in FY 2012. CBP also plans to continue to maintain its current inventory of permanent tactical infrastructure and technology deployments on the border in FY 2012 and FY 2013. In addition, CBP will continue to deploy resources, such as sensors and cameras, to increase the Border Patrol’s ability to detect illegal entries and to provide greater situational awareness.

The Tucson Sector’s area of operation, which covers most of the state of Arizona’s cross border illicit activity, is the most active of 20 Border Patrol Sectors. Agents assigned to the Tucson Sector seized more than 1,039,000 pounds of marijuana fiscal year 2011. This represents 41 percent of the marijuana seized nationwide. Additionally, agents assigned to the Tucson Sector arrested more than 123,000 illegal aliens, which accounts for more than 36 percent of all Border Patrol apprehensions.

Tucson Sector made substantial progress in enhancing border security during fiscal year 2011. Sector-wide apprehensions decreased by more than 40% and marijuana seizures increased by 2% as compared to FY 2010. Tucson’s share of apprehensions along the southwest border, compared to the rest of the Southwest border, decreased from 48% to 40% over the same period.

CBP also uses the Alliance to Combat Transnational Threats (ACTT), Surge Operations, Forward Operating Bases (FOBs), and Traffic Checkpoints to secure the border. These are described below:

### **Alliance to Combat Transnational Threats (ACTT)**

In September 2009, the Border Patrol initiated ACTT as the next stage of border operations along the Arizona border. ACTT utilizes a collaborative, cooperative enforcement approach that leverages the capabilities and resources of DHS agencies in partnership with other federal agencies, and state, local, and tribal governments. The purpose of this initiative is to increase and sustain the certainty of arrest of those who enter illegally at and between the ports of entry, and to reduce smuggling, and crimes associated with smuggling, in the state of Arizona.

ACTT operations have targeted the Arizona/Sonora border area with the objective to deny criminal organizations from operating along approximately 80 miles of the Arizona border. The enforcement strategy of the ACTT is a five-faceted approach based on collaboration, intelligence coordination, unity of effort, prioritized focus and sustained efforts. Additional agents, resources, and technology have been deployed into this focus area thus denying criminal organizations the use of terrain, infrastructure, and routes of ingress and egress away from the international border.

In July 2010, ACTT efforts began along the El Paso/Ciudad Juarez border area. The efforts included coordinating law enforcement efforts with intelligence sharing towards disrupting transnational criminal organizations' movement of money, arms, people and the location of their safe havens. In addition, the Border Patrol increased coordinated efforts with the Government of Mexico as a unified response against these criminal organizations. ACTT efforts in El Paso/Ciudad Juarez will continue through FY 2012 and into FY 2013.

In FY2012, 63 agents remain detailed to ACTT in Arizona: 40 agents are on non-lodging per diem at Operation Border Jaguar, three agents are on full lodging and per diem, and 20 El Paso Sector Agents are deploying from the Lordsburg Station at no additional cost. As Tucson Sector progresses through FY 2012 and into FY 2013, it is anticipated that a reduction of detailed assets will occur as permanent staffing continues to replace detailed positions. ACTT will continue as a collaborative enforcement effort at a Sector level. No new funds will be required in FY 2013. Tucson Sector realized a 42% decrease in apprehensions in FY 2011 as compared to FY 2010. Narcotic interdiction efforts in Tucson Sector have resulted in a 1% increase in marijuana seizures, for a total of 1,039,443 pounds (approximately 519.7 tons) in FY 2011.

### **Surge Operations**

The Border Patrol authorizes the implementation of surge operations to gain and maintain security of the border through improved enforcement. The Border Patrol's strategy for implementing surge operations across the Southwest border is based on threats, risks, vulnerabilities, and the resources of partner agencies. These operations increase the probability of preventing terrorists and their weapons from illegally entering the U.S. between the POEs. They also assist in the reduction of crime in border communities. Surge operations are implemented to proactively address intelligence, seasonal migration, and smuggling trends. Unlike ACTT operations, which encompass a large area and are sustained indefinitely, surge operations are short term and address small areas. They involve short term deployments of additional resources and technology to target areas that require, or may potentially require, a heightened presence based upon risk assessment.

### **Forward Operating Bases (FOBs)**

FOBs are permanent facilities in forward or remote locations used to sustain tactical operations. The purpose of these facilities is to reduce reaction time and provide space capable of housing agents on a continuous basis (24-hour capability). Use of FOBs began to address remote crossing points that have historically been very difficult for agents to patrol due to the vast distances and the time involved to access these areas. FOBs have proven to be very beneficial to the detection and deterrence of illegal entries in the areas in which they have been deployed and are now utilized in areas wherever the Border Patrol has a need to extend its reach.

The use of FOBs directly supports the Border Patrol's mission of gaining, maintaining, and expanding effective control of the Nation's borders. Although there are many approved FOB locations, there are currently 8 operational FOBs situated along the border. As the Border Patrol continues to gain control of the border, illegal migration activities and the tactics of criminal organizations shift in an attempt to identify and exploit vulnerabilities in border security measures, particularly in the more remote areas of the border. As a result, our tactics must also shift. Strategically placed FOBs afford a distinct advantage in that they provide a cost effective, secure staging facility that allows agents to be forward deployed in close proximity to the border – thereby improving Border Patrol's capability to rapidly respond to and counter these shifts in illicit cross-border traffic. The FOBs raise effectiveness levels and their presence has been successful in lowering response times and disrupting smuggling activity in remote areas. In FY 2011, there was a 27% decrease in apprehensions on the Southwest Border and an 18% decrease on the Northern Border. This represents a 27% reduction from FY 2010 nationwide. FOBs continue to be extremely useful in addressing operational overlaps that occur in locations where two sectors' and/or stations' geographic boundaries meet.

### **Traffic Checkpoints**

The Border Patrol is tasked with securing the Nation's borders between the POEs using a multi-tiered enforcement strategy. A major component of this strategy includes the strategic placement of checkpoints in tactical locations that contributes significantly to gaining effective security of the Nation's borders.

Traffic checkpoints are critical components of the Border Patrol's enforcement-in-depth border security strategy. There are currently 34 permanent traffic checkpoints along the border. This strategy was developed to maximize resources and to increase the certainty of arrest of anyone posing a threat to the United States. Border Patrol checkpoints are strategically located on routes of egress leading away from the border, thus, greatly increasing the Border Patrol's detection and interdiction capabilities.

A complete border security model that includes enforcement-in-depth creates an environment that denies, degrades and disrupts the criminal elements' ability to exploit the infrastructure needed to conduct operations.

The checkpoints' impact forces the criminal element to take risks that would otherwise not exist, thus raising their cost of doing business. In locations where checkpoint operations have been established, criminal organizations cannot engage in illegal activity in the border areas and then freely egress to their destination. They must instead utilize other tactics, such as using secondary staging areas and

circumvention routes, which disrupt and degrade their operations and give the Border Patrol additional time and distance to detect, deter, and interdict them.

Border Patrol is successfully implementing this strategy in a variety of locations, such as the Interstate 19 (I-19) corridor, the major route of egress from the Nogales, Arizona area. As a result, the majority of those engaged in illegal cross-border activity that takes place in the Nogales area seeks to use the corridor in an effort to exit the border area. The strategic value of a permanent checkpoint on I-19 cannot be overstated. A continuous checkpoint operation on I-19 creates an enforcement profile that denies, degrades, disrupts, and deters the criminal element from utilizing I-19 as a route of egress.

As demonstrated by the I-19 checkpoint, the overall effect of enforcement-in-depth, to include checkpoints, deters illegal activity and reduces cross-border traffic and the crime associated with it. Sustained checkpoint operations have shown to not only reduce crime in adjacent communities, but contribute significantly to an overall reduction in cross-border criminal activity in the areas south of the checkpoints.

Safe, efficient, and effective enforcement operations along the border and routes of egress, to include effective checkpoint operations, are essential to a complete enforcement strategy which will lead to increased border security and an improved quality of life in border communities.

Traffic checkpoints directly support the Southwest Border and Northern Border subprograms of Securing America's Borders LOB 1.

### **Operation Streamline**

Operation Streamline is a zero-tolerance, prosecution-based deterrence initiative that attaches a penalty to the act of illegally entering the U.S. Operation Streamline was envisioned to address three components: arrest, prosecution, and removal. Under the concept of the Operation, the sector's Chief Patrol agent designates a specific geographic area as a zero-tolerance zone and focuses his resources to ensure a high probability of apprehension and criminal prosecution.

With the cooperation of the U.S. Attorney's Office and the U.S. Marshals Service, many undocumented aliens apprehended within the designated geographic location are criminally prosecuted for their illegal entry under 8 USC 1325. The deterrent effect of this program has had pronounced results on the number of aliens attempting illegal entry/re-entry.

Performance related data specific to Streamline is collected as part of the Consequence Delivery System (CDS) process, includes recidivism, and is combined with the other 15 factors in the overall analysis. During the 1st Quarter of FY 2012, the Southwest Border posted an overall recidivism rate of 11 percent, down from a rate of 15 percent for the same time period in FY 2011. Unique subjects that received a criminal consequence through the use of Streamline, during this time period in FY 2012, had a recidivism rate of 5 percent. This result can vary depending on the classification of alien and the sector in which Streamline was applied.

Operation Streamline is one of many consequences evaluated by the Consequence Delivery System. Each consequence available within each sector is evaluated using fifteen factors covering cost, schedule, and performance. No single factor determines the overall effectiveness and efficiency of a

consequence. In most cases, multiple consequences (administrative, criminal and/or programmatic) are applied in combination to each alien apprehended.

By reducing the volume of illegal entries, the Border Patrol has greater flexibility to focus resources on apprehending terrorists, terrorist weapons, and smugglers of humans, drugs, and other contraband illegally entering the U.S. Operation Streamline has proven to be beneficial and is a key component to achieving significant ground and security of the border.

### **Special Operations Group (SOG)**

The Border Patrol Special Operations Group (SOG) is comprised of two operational components Border Patrol Search Tactical and Rescue (BORSTAR) and Border Patrol Tactical Unit (BORTAC) and robust support and intelligence sections. SOG provides DHS, CBP and the U.S. Border Patrol with specially trained and equipped tactical teams capable of rapid response to emergent and/or unusual law enforcement situations requiring special tactics and techniques, search, rescue and medical response capabilities via land, air and sea.

In 2007, the Border Patrol established, and continues to build upon, the SOG Headquarters element with full deployment capability on Biggs Army Airfield (AAF) in El Paso, Texas. Agents assigned to this office are routinely deployed throughout the U.S. in support of the Border Patrol National Strategy and are at the ready to address emergency support functions (ESFs) for national level incidents, as outlined in the National Response Framework. The SOG facility has classrooms, a new rappel tower, an obstacle course, and a live fire multi-building training complex located at McGregor Range, New Mexico.

OBP SOG, in coordination with OIOC, has established Law Enforcement Technical Collection Centers (LETCS) to improve intelligence collection and dissemination capabilities among the 20 sectors that comprise the field headquarters element. By establishing best practices, the methodologies used to collect, analyze, and disseminate actionable intelligence will be streamlined and standardized.

The possibility of widespread bio-terrorism and other pandemic perils remains a paramount concern for CBP and other federal, state, and municipal entities. Border Patrol is a major participant/facilitator in the CBP Continuity of Operations Plan (COOP) and will continue to build on established partnerships in an effort to rapidly respond and mitigate the impact of a catastrophic incident, be it an act of terrorism or a natural disaster.

### **Border Patrol Tactical Unit**

The Border Patrol Tactical Unit is a core operational component of the Office of Border Patrol Special Operations Group. BORTAC provides a tactical rapid response capability, at a national level, to resolve emergent, high-risk and unusual law enforcement situations by employing specialized skills, weapons and tactics. BORTAC supports the National Border Patrol Strategy by matching capabilities to emerging threats, through planning, training and tactical deployment, increasing the Border Patrol's ability to respond to specific terrorist and criminal threats and incidents, and supporting the traditional Border Patrol mission.

### **Border Patrol Search Trauma and Rescue Unit**

The Border Patrol Search, Trauma, and Rescue Unit (BORSTAR) is another core operational component of the Border Patrol SOG. In support of the Border Patrol National Strategy, the BORSTAR Unit provides rapid response law enforcement, search, rescue, and tactical medical capabilities for the U.S. Border Patrol. BORSTAR plans, prepares, and trains to counteract and diffuse imminent threats to national security. Additionally, BORSTAR provides mutual assistance to local, county, state, tribal, and Federal entities by responding to enforcement and search and rescue requirements, acts of terrorism, potential terrorism, and natural disasters throughout the United States.

### **Mobile Response Team (MRT)**

The Mobile Response Team program provides a national group of organized, trained, and equipped Border Patrol agents capable of rapid movement to regional and national incidents, and events in support of priority CBP operations as well as respond to intelligence driven targets and shifts in local cross-border criminal activity as deemed necessary by the Border Patrol Chief Patrol agents. In support of the Border Patrol National Strategy for enhanced mobility, the MRT provides a flexible and enhanced tiered-response capability to counter the emerging and evolving threats along the challenging operational areas of our Nation's borders.

### **CBP Transportation Program**

In FY 2011, the CBP Transportation Program administered a services contract which provides approximately one million hours of support to CBP for secure transport and guarding of illegal aliens apprehended along the Southwest border. The contract provides a transport fleet of approximately 150 vehicles (buses and vans) specially equipped to provide secure transport of detainees and over 600 certified Transportation Officers to guard detainees. The contract frees up officers and agents of transport and guard functions and increases their availability to conduct higher-priority law enforcement and inherently governmental functions. The Program is preparing a new procurement to contract for transport and guard services in FY 2012 and beyond. Analysis has shown that a commercial service contract is 35% less expensive than using agents and officers to perform non-inherently governmental guard and transport.

The Border Patrol also establishes and maintains effective partnerships, formal and informal, with other federal, state and local law enforcement agencies, as well as other federal agencies that have an interest in the border regions. Further, the Border Patrol maintains international partnerships to enhance border security primarily with agencies of the governments of Mexico and Canada. A number of these partnerships are described below.

### **Border Patrol International Liaison Unit (ILU)**

The ILU creates and maintains positive working relationships and fosters alliances with foreign counterparts in order to increase border security. The alliances established will maintain open communications and mutual respect with and between foreign and domestic law enforcement counterparts. The ILU builds partnerships and enhances border security awareness in support of the National Border Patrol Strategy.

The ILU also paved the way to programs like the Operation against Smugglers Initiative on Safety and Security (OASISS). The OASISS program was developed to address the increasing amount of alien smugglers across the Southwest border. The U.S. and Mexico established a bilateral, standardized



prosecution program in 2005. The program allows for alien smugglers apprehended in the U.S. to be prosecuted by the Government of Mexico. This program is very effective in areas along the Southwest border that are affected by guidelines that make it difficult to prosecute certain alien smuggling cases. OASISS has proven to be an invaluable tool to the Border Patrol. It also rewards the efforts of the agents by giving them another tool to be able to put criminals behind bars.

The liaison efforts with Mexican authorities that have occurred and continue to take place along the Southwest border have essentially bridged the communication gap between the U.S. and Mexico. This is an extraordinary accomplishment when one considers the economic vitality of the region and the political sensitivities between the two countries.

### **Integrated Border Enforcement Teams (IBET)**

There are fifteen IBETs in twenty-four locations working in land, air and marine environments between the ports of entry along the United States/Canada international border. IBETs are traditionally composed of the Royal Canadian Mounted Police (RCMP), Canada Border Services Agency (CBSA), U.S. Border Patrol, U.S. Coast Guard and other federal, state and local law enforcement agencies. These multi-agency intelligence driven teams augment the integrity and security of the border by identifying, investigating and interdicting individuals and organizations that pose a threat to the security of both nations.

The IBET program is governed by four core principles:

- The use of an integrated, cooperative and strategic approach to enable the establishment of joint goals and priorities
- A focus on continuous improvement through the effective and efficient uses of human resources, technology and accountability frameworks
- Subject to applicable laws, regulations, policies and agreements, the facilitation of open communication and the efficient development, analysis and exchange of information
- The development of strong working relationships at the local, regional, national and International levels

Through continuous collaboration and coordination the IBETs are able to synchronize operations between countries to expand the borders.

### **Border Patrol National Native American Program**

The mission of the Border Patrol National Native American Program is to facilitate new partnerships, improve relationships, and increase trust throughout the Native American Indian tribes that have a nexus to the U.S. border. The program champions partnerships between tribal law enforcement, various Native American organizations, and the Border Patrol to support the national strategy. The Border Patrol National Native American Program is operational in 12 of the Border Patrol sectors. The program acts as a conduit between the Border Patrol and tribal, local, state and federal law enforcement agencies, as well as tribal councils located along both the Southwest and Northern borders.

The program was designed to support ongoing enforcement operations within the respective agencies, while enhancing the liaison between them. As the relationship solidified, contact and responses to illicit activity along the borders has increased, allowing for joint law enforcement support for both Border Patrol and tribal law enforcement. Routine communication and liaison between some sectors

and tribal council officials has led to enhancing the security and safety of the agents who are working in dangerous areas along the border. Through the Border Patrol National Native American Program, information-sharing efforts have allowed the Border Patrol sectors to conduct All-Terrain Vehicle training, search and rescue training, advanced four-wheel-drive training, and vehicle stops.

The Border Patrol National Native American Program is working to standardize policies and procedures and is proactively developing performance measures for the program to evaluate and measure the effectiveness of its initiatives.

This program supports the Policy and Planning subprogram of the Enterprise Business Services LOB 5.

### **Borderlands Management Task Forces (BMTF)**

These task forces were created to facilitate an intergovernmental forum for cooperative problem-solving on common issues related to the international border. The primary mission is to address border security, human safety, and natural and cultural resource protection through shared resources, information, communication, problem-solving, standardization, and training. The goals of the BMTF are the following:

- Create a positive, intergovernmental working relationship and foster support among agencies charged with border responsibilities;
- Create mutually beneficial solutions to resource management issues within the border area;
- Provide expertise, experience, and information to address common border issues; and
- Educate our agencies and interested parties about border issues and recommendations for the implementation of possible solutions.

An integral part of the BMTF is the participation of the Sector Public Lands Liaison agents (PLLA).

The PLLA works to foster better communication, increase the interagency understanding of respective mission objectives and priorities, and serve as a central point of contact within the Border Patrol to facilitate the successful resolution of environmental issues at the local level.

### **Border Community Liaison (BCL) Program**

The purpose of this program is to facilitate the national expansion of relationships and interactions between government, law enforcement, and non-government agencies, border community partners, and Border Patrol offices (i.e., sectors and the Border Patrol Academy (BPA)). The Border Community Liaison Program provides stakeholders with a designated point of contact at Border Patrol offices and encourages communication between the Border Patrol and its border-community partners.

### **Conclusion**

In FY 2013, the Border Patrol will continue to further its mission by using a variety of programs and initiatives to support strategic objectives. A major future objective of the Border Patrol is to ensure that its workforce is highly mobile so that it can rapidly adjust to changes in the border security environment. The Border Patrol will continue to reevaluate its existing programs and planned initiatives as the threats and vulnerabilities to border security change in response to newly deployed border enforcement resources.

The Border Patrol is committed to continuing the southbound land border enforcement efforts to combat the smuggling of firearms and currency to Mexico.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Training Between the Ports of Entry  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Training Between the Ports of Entry**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>175</b>	<b>171</b>	<b>36,088</b>
<b>2012 Enacted Budget Authority</b>	<b>371</b>	<b>369</b>	<b>88,610</b>
2013 Adjustments-to-Base	-	-	171
<b>2013 Current Services</b>	<b>371</b>	<b>369</b>	<b>88,781</b>
2013 Program Change	-	-	(14,671)
<b>2013 Total Requested Budget Authority</b>	<b>371</b>	<b>369</b>	<b>74,110</b>
Total Change 2012 to 2013	-	-	(14,500)

CBP requests 371 positions, 369 FTE, and \$74.110 million in FY 2013 for the Training PPA

- A decrease of -\$14.671 million for a reduction to academy training and operations
- An increase of \$171,000 for the FY 2013 Pay Increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Training and Development (OTD) leads and directs CBP’s training programs which are designed to meet the needs of a diverse and geographically dispersed workforce. These programs support Line of Business (LoB) 6, Mission Support. The Mission Support LoB includes activities that support the primary mission of CBP, which encompasses CBP’s training related activities. This includes the development and conduct of training sessions that are tailored to meet the specific needs of all attendees. OTD establishes standards for designing, developing, delivering, and evaluating training, and executes career development programs; basic and advanced training to all occupations; and supervisory, management, and executive development programs.

As CBP’s lead for directing all CBP training programs and for developing centralized leadership programs, OTD prepares employees to carry out the core missions of CBP, continuing to evolve to meet the needs of DHS. By working with all CBP components to develop and deliver mission critical training, OTD prepares employees to protect America’s frontline. OTD links to CBP’s strategic goals to meet the ever changing challenges faced in the performance of mission critical operations.

### **Border Patrol Academy (BPA)**

The BPA in Artesia, NM prepares CBP trainees to safeguard the American homeland by providing training for Office of Border Patrol personnel, ultimately producing agents who are prepared to serve. The BPA provides Border Patrol agents with the training necessary to enforce the laws of the U.S. and to serve the American public with vigilance, integrity and professionalism. All newly hired BPA interns are required to complete a 58-day basic training program which includes instruction in Law/Operations, Driver Training, Physical Techniques and Firearms. Interns that do not pass a Spanish examination are required to attend a 40-day Language Training Program immediately following successful completion of the 58-day program. Over 9,000 BPA interns have graduated basic training since 2008 including 1,250 in FY 2010 and nearly 1,500 in FY 2011. For FY 2012, 1,200 new Border Patrol Agents are projected to attend basic training.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Air and Marine Operations Personnel Compensation and Benefits**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Air and Marine Operations Personnel Compensation and Benefits**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,935</b>	<b>1,899</b>	<b>300,128</b>
<b>2012 Enacted Budget Authority</b>	<b>1,919</b>	<b>1,915</b>	<b>287,901</b>
2013 Adjustments-to-Base	-	-	367
<b>2013 Current Services</b>	<b>1,919</b>	<b>1,915</b>	<b>288,268</b>
2013 Program Change	(45)	(45)	(7,449)
<b>2013 Total Requested Budget Authority</b>	<b>1,874</b>	<b>1,870</b>	<b>280,819</b>
Total Change 2012 to 2013	(45)	(45)	(7,082)

CBP requests 1874 positions, 1870 FTE, and \$280.819 million in FY 2013 for the Air & Marine Salaries and Benefits PPA

- A decrease of -\$139,000 for a DHS Management efficiency regarding OFPP-Directed Purchasing Savings
- A decrease of -\$225,000 for a DHS Management efficiency regarding PCS Costs
- A decrease of -\$40,000 for a DHS Management Efficiency regarding TDY and Travel
- A decrease of -\$7.030 million for a reduction to Air and Marine mission and field support staff
- A decrease of -\$24,000 for a DHS Management Efficiency
- An increase of \$1.056 million for the FY 2013 Pay Increase
- A decrease of -\$231,000 for a DHS Management Efficiency regarding overtime
- A decrease of -\$30,000 for a DHS Management efficiency regarding Strategic Sourcing Initiatives
- A decrease of -\$419,000 for a reduction to field support staff

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Air and Marine (OAM) supports the Southwest border, Northern border, Coastal, and Source and Transit Zone subprograms within the Securing America's Borders Line of Business. This LOB reflects CBP's core mission area of securing the border and preventing contraband, illegal migrants, terrorists and terrorist weapons from entering the U.S., and it includes the people that perform the mission as well as air platforms, marine assets, technology, and equipment that they use. The subprograms that comprise the LOB are organized geographically, given the distinct threat environments of each.

OAM helps secure the borders against terrorists, acts of terrorism, drug smuggling, and other illegal activity by operating air and marine branches at strategic locations along the borders. These branches house an integrated and coordinated air and marine force of personnel, including Air and Marine Interdiction agents who patrol the skies, oceans, lakes, and rivers in some of the most demanding situations. These personnel also conduct covert and overt operations to prevent illegal entry of weapons of terror, interdict illegal narcotics, and prevent the illegal entry of undocumented aliens. The agents deploy to natural disaster areas to assist in nighttime operations and to fly low-level over adverse terrain. They also provide airspace security over national events including the Presidential Inauguration.

See the table below for a summary of OAM on-board staffing by major occupation and location:

<b>OAM On-Board Staffing by Major Occupation and Location as of Pay Period Ending December 26, 2011</b>										
<b><u>Major Occupation</u></b>	<b><u>Mission Support</u></b>	<b>Operations &amp; HQ</b>			<b><u>TSS*</u></b>	<b><u>NASO*</u></b>	<b><u>Northern</u></b>	<b><u>Southeast</u></b>	<b><u>Southwest</u></b>	<b><u>Totals</u></b>
		<b><u>Liaison</u></b>	<b><u>AMOC</u></b>							
Air Interdiction Agent (Pilot)	3	31	0	34	116	150	108	316	758	
Marine Interdiction Agent	2	4	0	10	0	120	142	76	354	
Air Enforcement Officer	0	7	2	5	5	7	43	22	91	
Detection Enforcement Officer	0	0	63	0	0	0	31	34	128	
Intel Research Specialist	0	0	16	0	1	0	1	1	19	
Aviation Maintenance Officer/Inspector	4	0	1	4	2	9	4	26	50	
Mission Support/Administrative	<u>81</u>	<u>34</u>	<u>48</u>	<u>22</u>	<u>154</u>	<u>43</u>	<u>9</u>	<u>30</u>	421	
<b>Total**</b>	<b>90</b>	<b>76</b>	<b>130</b>	<b>75</b>	<b>278</b>	<b>329</b>	<b>338</b>	<b>505</b>	<b>1821</b>	

\*TSS-Test, Standards and Safety  
 NASO-National Air Security Operations

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
US VISIT  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: US VISIT**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	351	338	261,523
<b>2013 Current Services</b>	<b>351</b>	<b>338</b>	<b>261,523</b>
<b>2013 Total Requested Budget Authority</b>	<b>351</b>	<b>338</b>	<b>261,523</b>
Total Change 2012 to 2013	351	338	261,523

CBP requests 351 positions, 338 FTE, and \$261.523 million in FY 2013 for the U.S. VISIT PPA

- An increase of \$261.523 million for a transfer of U.S. VISIT to CBP and the sustainment of U.S. VISIT mission and mission support capabilities

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The FY 2013 budget requests the transition of the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) Program from the National Protection and Programs Directorate (NPPD) to CBP and ICE. CBP would assume responsibility for the core US-VISIT operations and the management of the biometric and biographic information storage and matching and watchlist management services, and ICE will assume responsibility of the US-VISIT overstay analysis services. CBP is the largest user of US-VISIT systems; using them to help determine admissibility of foreign nationals arriving at all U.S. ports of entry (POEs) and for processing aliens entering the U.S. illegally between the POEs. Currently, CBP operates numerous screening and targeting systems, supporting more than 70,000 users from over 20 Federal agencies that are responsible for a wide range of programs that rely on CBP information and systems to determine benefits, process travelers, inform investigations, support case management, and enhance intelligence capabilities. The US-VISIT systems will complement the CBP systems by adding the biometric identification and screening capabilities which are also used across and beyond DHS. While ICE will take the overstay mission, CBP and ICE will collaborate on system support for the overstay mission.

US-VISIT provides Federal staffing and other mission support activities, such as systems operations and maintenance, identity screening, fingerprint examinations, and managing capability development



projects. In addition, US-VISIT covers mission support that includes strategic planning, budgeting, acquisition facilities, logistics, and other support services. The demand for US-VISIT services continues to grow along with the need for the US-VISIT workforce to deliver these services. Over the last four fiscal years, US-VISIT has converted contractor positions into Federal staff positions in order to achieve the combined goals of promoting long-term continuity and cost efficiency.

DHS will identify potential operational and cost efficiencies through the transition of US-VISIT to CBP and ICE. This includes prioritizing transition initiatives that focus on increases in efficiency and effectiveness within mission support and “corporate” functions such as logistics and human resources to include information technology. The allocation of budget authority and responsibilities proposed for FY 2013 is based on preliminary planning, and will be refined as the transition plan is implemented, business processes are linked, and means for more efficiently conducting screening operations are achieved. Adjustments will be made through the transition as CBP and ICE coordinate to propose operational efficiencies in the fiscal years 2014-2018 timeframe and seek to achieve the mission in innovative and less costly ways.

This PPA also contains the supportive services of the Working Capital Fund (WCF) that includes rent expenses within the National Capital Region, acquisition and procurement support, financial management operations, human capital services, and logistical capabilities. In addition, the WCF provides these resources for expenses related to mission and mission support capabilities.

### **Systems Operations and Maintenance**

US-VISIT operates and maintains the Automated Biometric Identification System (IDENT) and the Arrival and Departure Information System (ADIS) systems, by providing essential biometric and biographic data to US-VISIT customers in a reliable and timely manner. Systems O&M is critical to CBP, the Department of Defense (DOD), DOS, DOJ, and to the law enforcement and intelligence communities.

### **Identity and Screening Services**

US-VISIT is the single DHS source for providing biometric identity and screening services support. US-VISIT meets mission requirements through efforts in three areas: (1) positively confirming biometric identity through IDENT, supplemented with fingerprint analyses conducted by examiners; (2) coordinating identity analysis and operational activities to improve the accuracy and usefulness of US-VISIT-maintained identities; and (3) providing technical assistance to foreign government authorities engaged in developing biometric capabilities to secure and manage their border and immigration management programs.

US-VISIT solidified business processes with the FBI’s Terrorist Screening Center (TSC) to manually promote persons identified by the TSC to the watchlist until an automated biometric process is deployed. US-VISIT analysts also manually provided biometrics of known and suspected terrorists (KSTs) to the National Counterterrorism Center (NCTC) through the DHS Office of Intelligence and Analysis watchlisting section.

In FY 2011, US-VISIT information and technical assistance expanded existing partnerships with the United Kingdom, Australia, and Canada, and forged new partnerships with New Zealand, India, South Africa, the Republic of Korea, Germany, Spain, Greece, and the Dominican Republic to support the

implementation of biometrics in border and immigration control. US-VISIT continued to provide in-depth, onsite technical assistance to three strategic partners: the United Kingdom Border Agency (UKBA), Citizenship and Immigration Canada (CIC), and Australia's Department of Immigration and Citizenship (DIAC). US-VISIT's three technical experts supported these agencies to develop biometric identity-screening capabilities.

US-VISIT engaged VWP member countries that have signed Preventing and Combating Serious Crime (PCSC) agreements with DHS and DOJ to coordinate the technical implementation of the agreements. Working with the Ministry of the Interior of Germany and partners at ICE and the FBI, US-VISIT developed a technical standard for implementing PCSC agreements with other VWP countries. US-VISIT initiated discussions with Spain and the Republic of Korea for implementing PCSC agreements.

US-VISIT information sharing and technical assistance will continue to lead US-VISIT's biometric standards development efforts to improve data sharing and interoperability between DHS, DOD, DOJ, DOS, and foreign partners. US-VISIT also will provide four secondments during FY 2013 to Australia, Canada, New Zealand, and the UK.

### **Systems Engineering**

Systems Engineering represents a discipline critical to effective and efficient operations across the systems life cycle covering systems acquisition, development, deployment and operations and maintenance. In FY 2012, Systems Engineering is focusing on server virtualization as a method of running multiple independent virtual operating systems on a single physical computer to maximize resources while reducing hardware costs. Virtualization will save resources by lowering total cost of ownership. In FY 2013, Systems Engineering plans to evaluate the virtualization prototype and adjust the US-VISIT plan as necessary. Systems Engineering also plans to begin full implementation of server virtualization.

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for Automated Targeting Systems O&M  
PPA: Systems for Targeting  
Program Increase: Positions 0, FTE 0, Dollars \$31,000

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							34	32	48,406
Program Increase							-	-	31,000
<b>Total Request</b>	<b>39</b>	<b>36</b>	<b>32,376</b>	<b>34</b>	<b>32</b>	<b>41,400</b>	<b>34</b>	<b>32</b>	<b>79,406</b>

### Description of Item

The requested increase of \$31.0 million addresses resource requirements that will support the maintenance of, enhancements and improvements to the ATS, which supports the overall operations and maintenance (O&M) of the six modules that comprise ATS.

ATS is a web-based enforcement and decision support tool that that is the cornerstone for all of CBP's targeting efforts. ATS incorporates intelligence information and technologies to target suspect inbound and outbound shipments for examinations and passengers for inspection. ATS allows CBP officers to focus their efforts on cargo shipments and passengers that most warrant further attention. ATS standardizes names, addresses, ship names, and similar data so these data elements can be more easily associated with other business data to form a more complete picture of a passenger, import, or export in context with previous behavior of the parties involved. Every passenger and shipment processed through ATS is subjected to a real-time risk evaluation. Risk assessment strategies are multi-tiered in their approach and are founded on complex statistical studies, data analysis, and rules based on knowledge engineering.

## **Justification**

The performance and operation of ATS is critical to the successful performance of CBP missions. This request will maintain current service levels and ensure sustained operations and performance of ATS and its sub-systems.

The nature of the targeting support that ATS provides requires a system that responds to advances in targeting techniques and methodologies, one able to incorporate new government data sources to improve targeting capability, and capable of continued improvement to process the electronic data related to the ever-increasing number of people and goods entering the United States.

ATS requires resources to expand targeting coverage to more completely analyze the volume of passengers and cargo across all modes of transportation and to make improvements to its targeting capabilities, coordinate intelligence, support architectural improvements to the service delivered to CBP officers in the field, and to move towards true 24/7 system availability

The requested increase will fund the following:

- \$2.9M – Time-sensitive technical requirements, including daily rules updates and ad-hoc data requests;
- \$3.0M – Continued technical support for the maintenance of the Targeting Framework;
- \$4.0M – Advanced targeting capabilities to include Entity Resolution, Predictive Modeling and Visualization, and Intelligence Driven Targeting and Machine Learning;
- \$6.0M – ATS hardware and software upgrades including high availability appliances, infrastructure and circuits technology refresh, data center infrastructure refresh;
- \$4.0M – Cargo targeting methodology refresh including capture of findings information and support to outbound targeting;
- \$4.0M – Failover/Disaster recovery of the ATS modules.
- \$7.1M – Other critical costs associated with CBP Targeting Enterprise

## **Impact on Performance (Relationship of Increase to Strategic Goals)**

Without this additional funding to O&M activities, ATS becomes an at-risk system leading to:

- ATS 24/7 operations would be unsustainable and CBP may suffer losses to critical capabilities and targeting services that support all of the agency operational missions.
- Inability to provide daily Rule Updates and Weekly Rule Releases - in response to emerging terror threats.
- Inability to complete Targeting System Upgrades to support High Availability Appliances, Infrastructure Upgrades, Data Center Costs in support of the Data Center build out, and to continue to modernize and improve cargo targeting capabilities. This is essential to realize improvements to system resiliency and mitigate increased risks of system outages.

- Delayed support to Rapid Response Ad-Hoc Data Requests - staff receives several of these requests a week, often with very short turn-around requested, from CBP and other agencies (FBI, TSA, etc.). Areas of focus include the Immigration Advisory Program (IAP); new and emerging threats, and incidents such as the Dec 25, 2009 event; the Times Square Bombing; and the October 29, 2010, Yemen cargo threat.
- Inability to continue support for ACE Screening and Targeting Modules and inability to restore quarterly releases for S2 / Targeting Framework including the Intelligence Operations Framework System and S3 / Advanced Targeting.
- Inability to provide Targeting Methodology Improvement Support to expand the capture of inspection results to complete the targeting feedback loop. This provides the feedback loop from the capture of examination findings which will allow CBP management to evaluate the effectiveness of inspection and targeting techniques employed at ports of entry as well as specific inspection technologies, including Non-Intrusive Inspection technologies, to improve management and operational capability.
- Inability to complete Full Failover Disaster Recovery – unable to continue efforts to migrate targeting applications to the DHS data center and realize full fail-over disaster recovery capabilities for cargo targeting applications. This provides CBP the capability to restore full system functionality and minimize disruption of service to personnel using it in the field in the case of a disaster.

Potential risks include lengthy system outages, the inability to react to real time terrorist threats, or front line operational decision making being based on aged/out-of-date or inaccurate/incomplete intelligence and information. In the event of system outages, frontline operations would revert to manual processing and decision making. Manual examinations would increase dramatically in reaction to incomplete information, and movement of cargo and people would be degraded and delayed.

This enhancement supports CBP's Goal #2, Ensure the efficient flow of legitimate trade and travel across U.S. borders, Objective 2.2, Fully employ the use of risk management and targeting to detect and deter trade noncompliance and apply consistent enforcement actions.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Enhancement to Targeting Systems and Staff  
 PPA: MA Border Security and Control between Ports of Entry  
 Systems for Targeting  
 MA Border Security Inspections and Trade Facilitation  
 Program Increase: Positions 25, FTE 25, Dollars \$38,702

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							5,003	4,819	1,433,014
Program Increase							25	25	38,702
<b>Total Request</b>	<b>4,843</b>	<b>4,608</b>	<b>1,061,631</b>	<b>4,822</b>	<b>4,638</b>	<b>1,426,503</b>	<b>5,028</b>	<b>4,844</b>	<b>1,471,716</b>

**Description of Item**

The requested increase of \$38.702 million and 25 FTEs will support enhancements to targeting systems and staff within the Office of Intelligence and Investigative Liaison (OIIL). The OIIL program includes resources for the identification, development, implementation, and refinement of mechanisms for various methods of targeting and responding to security-related operational and real-time events involving people, goods, and conveyances entering and exiting the United States. The increase will allow CBP to increase our targeting capabilities by providing the ability to updates rules in real time and allow CBP to attain a true 24/7 targeting capability to better support CBP officers in the field. A detailed description of this increase is as follows:

- Advanced Targeting Capabilities \$7.5M
  - Enterprise Data Warehouse for information storage and data standardization
  - BorderStat statistical tracking system for border enforcement
  - Continual analysis on rule effectiveness
- Targeting System Hardware and Software Upgrades \$5.5M
  - Network Improvements
  - Security and Monitoring
  - Geospatial Tools
  - Discovery and Exploration Tools
  - New Proprietary Data sources
- Cargo Targeting Methodology Improvement \$2.7M
  - Integration of Trade Interfaces for Screening and Targeting
- ATS-Global \$12.0M

Air Cargo	<ul style="list-style-type: none"> <li>- Four highest priority countries</li> </ul>	\$3.0M
NTC Infrastructure	<ul style="list-style-type: none"> <li>- Address Air Cargo Manifest Gap</li> <li>- Intel capability for anomaly detection</li> </ul>	\$5.0M
25 OIIL New Targeting FTE	<ul style="list-style-type: none"> <li>- Network Upgrades</li> <li>- Maximum Redundancy and Network Diversity</li> <li>- Localized Monitoring</li> </ul>	\$3.0M

**Justification**

The Targeting staff within OIIL responds to security-related operational and real-time events involving people, goods, and conveyances entering and exiting the United States. The requested 25 FTEs and the additional resources are needed to respond to potential terrorism alerts on a 24x7 basis, covering all international modes of transportation, at and between the ports of entry. As intelligence reporting continues to expand and automated analytical techniques become available and enhanced and other agency and international government targeting efforts are expanded, additional personnel are required to properly analyze and employ actionable intelligence, develop internal information, and enhance automated information management tools to improve targeting.

Additionally, OIIL staff collaboratively interacts with all CBP anti-terrorism border security initiatives, which require additional staff support. OIIL Targeting Division provides real-time analysis and threat assessment support to all CBP components and other participating government agencies. To accomplish this task, additional personnel are required to establish data-sharing relationships and agreements with internal and external DHS components, other law enforcement agencies, private companies, and foreign counterparts.

Currently, this work is conducted by a limited number of technical staff and managers. The additional resources would ensure that most of the ongoing deliverables would not have to be scaled back or eliminated. Through these focused targeting efforts, CBP will expand its layered risk management approach and move from a reactive posture to a more effective and proactive one.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

These enhancements including hiring of 25 additional FTE and moving to real-time rule updates and a 24/7 targeting capability will allow CBP to more effectively develop and implement intelligence in order to effectively target threats to our nation. They will also enable comprehensive reporting and sharing of information for all people, goods, and conveyances entering and exiting the United States. CBP officers and Agricultural specialists will have access to the right information at the right time and possess greater awareness of the current environment and factors affecting the POEs. CBP will gain an intelligence advantage and be prepared to respond to all threats or emergencies that arise. These initiatives support DHS and CBP strategic goals of Advance Knowledge, Effective Inspections, and Focused Security.

It specifically supports CBP Strategic goals:

1. Securing America's Borders;
2. Securing and Expediting the Movement of People and The Flow of Goods

Without this funding, CBP may not have the ability to:

- Provide Advanced Targeting Capabilities that introduce new cargo targeting enhancements and support for planned ACE releases.
- Further the Entity Resolution capability: Increased workload for NTC personnel with regard to potential matches requiring vetting, which prevents NTC personnel from using their limited time on more productive targeting activities; substantially increased workload for field personnel responsible for performing unnecessary contractor augmented primary inspections, which results in slower processing at airports and land border crossings
- Further the Predictive Modeling and Visualization Tools: Functionality on hold: Predictive Modeling and Analytics, Scaling/Cluster Analysis to complement existing (linear) rule-based targeting by incorporating multidimensional attribute descriptions of entities into targeting models. Inability to expand visualization tools to increase ease, speed and quality of information comprehension.
- Provide Machine Learning: Unable to create machine learning models that deal with very specific risks associated with air cargo. Unsupervised machine learning technology can be used to improve anomaly detection. Machine learning is a core component of any near-to-mid-term strategy to improve targeting effectiveness.
- Proceed with the Intelligence Driven Targeting: Unable to incorporate intelligence information to support real time targeting and decision making. Unable to improve collaboration to facilitate information sharing, increase ease and speed of disseminating information and findings for efficient decision making. Inability to develop an integrated risk model, incorporating both rules-based and advanced analytics techniques. Inability to develop systems and processes for continuously measuring the effectiveness of targeting.



**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** Enhancement to restore CSI to FY11 levels  
PPA:  
Program Increase: Positions 0, FTE 0, Dollars \$13,032

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							374	368	58,502
Program Increase							-	-	13,032
<b>Total Request</b>	<b>440</b>	<b>426</b>	<b>106,942</b>	<b>374</b>	<b>368</b>	<b>74,557</b>	<b>374</b>	<b>368</b>	<b>71,534</b>

**Description of Item**

The requested increase of \$13.032 million will allow CBP to continue to review high-risk cargo that can be targeted and inspected before it reaches a U.S. port. Operational in 58 ports, CSI is an effective multinational program protecting the primary system of global trade – maritime containerized shipping – from being exploited or disrupted by international terrorists. It includes the capital investments that directly support these activities.

**Justification**

The request will support the CSI's rebalancing of its international footprint. The program would move toward a hub concept in several international locations where there are multiple CSI ports. These hubs would utilize software specifically designed for CSI remote operations. The host country counterparts would perform the requested exam, upload the image utilizing the software, and send the images to the hub location. CBP officers located at the hub would review the images and either release the shipment if no anomalies are found or request a physical examination.

This software for remote operations is currently operational in Israel, Australia, and New Zealand. The CSI program serves as a workforce multiplier because it identifies and inspects high-risk cargo before it is laden on a vessel destined to the U.S. in a foreign port. Shifting to the hub concept, helps CBP to realize efficiencies within this LOB and further reduce the CSI program staff in order to maximize utilization of CBPOs.

## **Impact on Performance (Relationship of Increase to Strategic Goals)**

The CSI program will continue its mission to prevent terrorists and terrorist weapons from entering the U.S. while also facilitating the flow of legitimate trade. This enhancement right-sizes the CSI program as it currently exists.

The CSI program supports the following CBP and DHS goals and objectives:

CBP Goal 2.2: Intercept Threats Away From the Physical Border

Objective 2.2.: Develop and deploy the optimal international footprint for CBP, combining physical presence, virtual presence, use of locally engaged staff, and reciprocal relationships with foreign partners.

Initiative 2.2.1.1: Conduct a systematic review of the Immigration Advisory Program, Container Security Initiative and Secure Freight Initiative, and preclearance programs to maximize their efficiency, expand or adapt those programs as appropriate to changing threats, and systematize their operation.

Initiative 2.2.1.3: Identify foreign locations where a physical presence by CBP Attaches and Representatives is necessary to achieve CBP's strategic goals and secure approval for and placement of personnel there.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 4:** Enhancement for IPR Enforcement  
PPA: Inspections Trade and Travel Facilitation  
Program Increase: Positions 0, FTE 0, Dollars \$10,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Increase							-	-	10,000
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>22,006</b>	<b>22,028</b>	<b>2,523,422</b>

**Description of Item**

The requested increase of \$10 million will support Intellectual Property Right (IPR) enforcement through two operational initiatives. These initiatives are broken out in detail below.

The requested increase includes \$5 million for the IPR Partnership Program and Distribution Chain Management. CBP’s concept for an IPR supply/distribution chain management will transform IPR risk assessment, increase efficiency, and support U.S. economic competitiveness. This CBP-private sector partnership program aims to improve IPR targeting by enabling CBP to identify and release shipments of authentic goods. Rights holders will drive the program by passing unique identifiers to importers, who will provide to CBP to identify authentic shipments. This means more effective use of CBP inspection resources, lower costs to legitimate importers, and increased IPR seizures.

The table below displays the annual funding breakouts for this effort.

<b>Estimated Funding Requirement</b>	
<b>Pay</b>	-
<b>Non-Pay</b>	<b>\$ 5 million</b>
<b>TOTAL</b>	<b>\$ 5 million</b>

<b>Estimated Annual Funding Request for the IPR Partnership Program</b>		
<b>Activity</b>	<b>Description</b>	<b>Annual Funding Impact</b>
<b>Technology</b>	<ul style="list-style-type: none"> <li>Build application to enable transmission/receipt of unique identifier and link that information to targeting</li> </ul>	\$4.66M
<b>Training</b>	<ul style="list-style-type: none"> <li>Train frontline officers in ports of entry</li> </ul>	\$0.18M
<b>Stakeholder Consultations</b>	<ul style="list-style-type: none"> <li>Outreach/collaboration with private sector to drive business practice compatibility and participation</li> </ul>	\$0.16M
	<b>TOTAL</b>	<b>\$5M</b>

Additionally, the requested increase includes \$5 million to support the mainstream Enforcement Link Mobile Operations (ELMO) for U.S. border operations. This new tool has been piloted based upon the success of Automated Targeting System-Mobile (ATSm) at foreign Immigration Advisory Program (IAP) locations. Additional funding will provide for over 300 devices and peripherals for field deployment including funding for data service, development, Operations and Maintenance and travel resources for ELMO development and training.

### **Justification**

Intellectual property theft puts America’s economic vitality, consumer safety, and national security/critical infrastructure at risk. CBP’s 5-Year IPR Strategy is an aggressive, multi-layered, risk-based approach to protect America from this harm. It is built on three pillars: Facilitate, Enforce, Deter. Supply/distribution chain management is a critical objective, and CBP is working with U.S. industry to co-create an IPR supply/distribution chain management program integrating current business practices.

Currently, lack of information on supply/distribution chains for authentic products causes CBP to detain many shipments of authentic goods for inspection. This inefficiency in shipment targeting increases costs to U.S. industry, forces CBP to expend resources inspecting shipments that do not contain counterfeit goods, and results in fewer inspections of shipments containing counterfeits.

Distribution chain management will remove the need to physically examine a shipment because it will move the shipment into the trusted segment of imports. By reducing inspections of authentic shipments, CBP will be able to focus its resources on shipments that have a high or unknown risk of containing counterfeit goods. U.S. importers will benefit from increased predictability in their supply chains and reduced costs because they will not have to bear the delays and costs caused by physical inspections. Right holders will benefit because CBP’s increased efficiency will lead to more seizures of counterfeit goods.

Action	Benefits
<b>Eliminate inspection of non-infringing imports</b>	<ul style="list-style-type: none"> <li>• Lower costs to importers</li> <li>• Increased predictability in importer supply chains</li> <li>• Re-deploy CBP inspection resources to other targets</li> </ul>
<b>Shift inspection to high-risk shipments</b>	<ul style="list-style-type: none"> <li>• More efficient CBP resource use</li> <li>• Increased enforcement within current staffing resources</li> </ul>
<b>Increase targeting efficiency</b>	<ul style="list-style-type: none"> <li>• Allocate CBP resources to inspect high risk shipments</li> <li>• Increase seizures of counterfeit and pirated goods</li> <li>• Increase protection of U.S. industry, consumers and national security/critical infrastructure</li> </ul>

The second piece of this requested increase stems from the development and success of ATSm at IAP locations. Following the Christmas 2009 attempted terrorist attack on Northwest Airlines Flight 253, CBP developed ATSm for IAP officers working at foreign airports. ATSm evolved to United States border operations with the introduction of a scanning peripheral that attaches to the smartphone, allowing CBP officers and agents to scan the machine-readable zone on travel documents and access CBP enforcement systems. ELMO leverages the success of ATSm by permitting officers to enter cargo examination results and remove manifest holds in real-time, resulting in significant reductions in cargo cycle time. The devices will deliver real-time tactical targeting data to personnel via a smartphone in locations with limited or no CBP systems access. ELMO cargo is currently being piloted at Port Everglades, FL, which is the 12th busiest sea container port in the United States. ELMO applications have been integral in both Securing and Expediting the Flow of Trade and Travel.

**Impact on Performance (Relationship of Increase to Strategic Goals) –**

**IPR Partnership Program & Distribution Chain Management** – Distribution chain management will enhance CBP’s implementation of its strategic goals for trade and IPR enforcement by supporting the following goals:

DHS Strategic Goal: Protect our Nation from Dangerous People and Goods.

DHS Strategic Goal: Protect Critical Infrastructure

CBP Goal 1: Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel

CBP Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.

Performance metrics include:

- Percentage of shipments in trusted segment of imports
- Targeting efficiency (efficiency of CBP inspection resources)
- Increased number of seizures

**Enforcement Link Mobile Operations (ELMO)** – Since its initial deployment in September 2010, ELMO passenger has contributed to over 400 successful CBP enforcement actions, by both the Office of Field Operations and the Office of Border Patrol, including identification of subjects of NCIC warrants, undocumented aliens, and smugglers of narcotics, unreported currency, and weapons.

Additionally ELMO cargo has been proven to decrease the time an importer has to wait for cargo that has been cleared. CBP would lose the efficiencies gained and the enforcement results achieved within both the passenger and cargo environment if additional funding is not received.

*Efficiencies Gained:* The tool has aided in decreasing the number of IAP telephone calls necessary to the NTC-Passenger and records checks at the Sector level. There have also been major improvements to cargo inspection processes; and reductions to CBP's cargo-cycle times.

*Enforcement Results:* Continuing this strategy in the various CBP processing environments only enhances CBP operations and addresses mission requirements to Secure and Expedite the Flow of Travel and Trade while providing for more efficient use of limited CBP staffing resources.

This initiative directly supports the DHS Strategic Goal: Protect our Nation from Dangerous People and Goods.

CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 5:** ICE Medical Detention Support  
PPA: Border Security Control  
Program Increase: Positions 0, FTE 0, Dollars \$8,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							23,301	23,306	3,562,996
Program Increase							-	-	8,000
<b>Total Request</b>	<b>23,104</b>	<b>22,683</b>	<b>3,683,893</b>	<b>23,301</b>	<b>23,306</b>	<b>3,530,994</b>	<b>23,301</b>	<b>23,306</b>	<b>3,570,996</b>

**Description of Item**

The requested increase of \$8 million will support ICE Medical Detention program. This increase represents the projected costs of medical treatment for aliens that are in CBP’s custody. Costs are based on current requirements, plus inflation and ICE’s projections for costs.

**Justification**

DHS has determined that CBP should account for its portion of the funding requirements related to the ICE Medical Detection Support program. Traditionally, ICE has borne 100% of the cost related to this program. When DHS was created, the Detention program formerly under the Immigration and Naturalization Service was assigned to ICE along with the responsibility for the payment of alien medical costs while in the custody of DHS components. The ICE appropriation was not initially funded for the expense of the medical care program; however, grant funding was provided through the Department of Health and Human Service for this purpose. The grant program was terminated recently which resulted in ICE seeking funding to pay for these medical costs. As costs increased, ICE was unable to absorb the additional expenses, and requested funding from CBP.

As a part of the CBP’s mission, Border Patrol agents may apprehend and detain undocumented aliens and other aliens that require medical attention. While both CBP and ICE have the responsibility to take custody of aliens at the borders and, as required, obtain medical services for them, this request will allow CBP to pay its share of these detention costs, if the alien are in CBP’s custody.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The requested increase of \$8 million will allow CBP to pay the medical costs for aliens that require medical attention while in the custody of CBP. The increase requested directly supports the DHS goals 2.1.1 and 2.3.2 for Securing and Managing Our Borders. It also supports CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.



**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 6:** Enhancement to NTC  
PPA: National Targeting Center  
Program Increase: Positions 0, FTE 0, Dollars \$7,980

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							397	391	57,318
Program Increase							-	-	7,980
<b>Total Request</b>	<b>348</b>	<b>337</b>	<b>47,111</b>	<b>397</b>	<b>359</b>	<b>51,950</b>	<b>397</b>	<b>391</b>	<b>65,298</b>

**Description of Item**

The budget request of \$7.980 million will allow CBP to continue to develop and implement an enhanced targeting strategy that more effectively and efficiently divides cargo and travelers according to the potential threat they pose.

The NTC, which is housed in two facilities, supports CBP’s goal to develop and implement an enhanced targeting strategy that more effectively and efficiently divides cargo and travelers according to the potential threat they pose. The NTC helps to integrate the Agency’s diverse intelligence capabilities into a cohesive intelligence enterprise enabling CBP to serve the Nation as a premier intelligence-driven border law enforcement agency.

Targeting responsibilities continue to grow. CBP officers, Border Patrol agents, and import specialists, all experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments, primarily staff both NTC facilities. In addition to using existing databases and information to identify potential targets, the NTC also develops tactical targets from raw intelligence in support of CBP’s mission to detect and prevent terrorists and terrorist weapons from entering the U.S. While the vast majority of travelers and goods are legitimate, both NTC facilities are designed to carefully examine the small minority of shipments and/or travelers that may be connected to terrorism or other transnational crimes, such as money laundering or narcotics smuggling.

## **Justification**

Since the attempted bombings of the Northwest Airlines Flight #253, the Times Square bombing incident, and the October 28, 2010 attempt to ship explosive devices through express consignment air cargo from Yemen, CBP has re-structured its targeting efforts. Targeting must now address interdicting possible terrorists or other *mala fide* international travelers before they can board a flight destined to the United States. While these new targeting programs have been very effective, the re-structuring has caused a dramatic increase in the NTC workload leading to significantly increased overtime costs and temporary duty (TDY) staff augmentation.

NTC pre-departure vetting of passengers at foreign locations where CBP does not have an IAP presence also keeps high-risk travelers from boarding flights to the United States. This program began in January 2010 and through close cooperation with the CBP Regional Carrier Liaison Groups, the airline industry, as well as the local ICE and CBP Attachés, over 1,600 *mala fide* passengers have experienced 'refused boarding' on U.S. bound flights since the inception of the program.

NTC continues to provide 24/7 support for the expanded IAP program, which now has officers posted at ten airports in eight countries. Additionally, the new NTC Advanced Targeting team (ATT) focuses on passengers departing from the United States. Since the outbound apprehension of the Times Square bomber and the increase in the number of watch-listed individuals, a new emphasis has been placed on outbound targeting operations.

The primary areas of concern are threats to civil aviation, subjects of the NCIC arrest warrants, and new efforts to identify previously unknown terrorists by their travel to remote areas where there are known terrorist training camps.

The ACAS project was launched in November 2010 after the October 28, 2010 attempt to ship explosive devices through express consignment air cargo from Yemen. The NTC became the sole entity responsible for implementing new targeting rules and analysis for high-risk cargo. The ACAS team is staffed with both CBP and TSA targeting analysts who jointly target and mitigate air cargo identified as high risk before allowing it to be loaded onto an aircraft. Pre-departure targeting allows CBP to push U.S. borders outward by keeping high risk cargo off international conveyances destined to the United States.

The ACAS team currently receives data from UPS, FedEx, DHL, and TNT express air couriers and is expanding the program to include additional air carriers and additional countries. Modeling the Importer Security Filing in the air environment, ACAS enhances air cargo security by obtaining air manifests in advance, thereby increasing the availability and volume of data on air cargo received.

Since the efficient flow of commerce in North America is vital to both the health of our economy and our competitiveness in the world, CBP is working to develop a plan to secure the rail supply chain security through the development of secure transit zones. CBP is working with the private sector to develop a plan to best secure the supply chain through cooperation with Mexico, rail companies, and other stakeholders. This collaborative involvement of government and stakeholders is necessary for the creation of secure transit zones. The Rail Targeting Unit will be a centralized resource for information, operational awareness, intelligence collection, data analysis, reports and technological

expertise in regards to inbound and outbound rail shipments. The Rail Targeting Unit will have the ability to provide instantaneous targeting expertise and operational guidance to the operators in the field.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The NTC is a 24/7 operation with the centralized mission of coordinating anti-terrorism targeting and support all of CBPs Anti-Terrorism activities. NTC provides research support and responds to inquiries from the field, conducts tactical targeting to identify actionable targets, develop ATS rules, and supports intelligence-driven special operations. NTC also coordinates inter-agency responses to emergent situations through the various on-site liaison officers and is in constant contact with the FBI TSC

National Targeting Center supports the following CBP Goal:

CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 7:** Enhancement for Centers of Excellence and Expertise  
PPA: Inspections Trade and Travel Facilitation  
Program Increase: Positions 5, FTE 5, Dollars \$3,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Increase							5	5	3,000
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>22,011</b>	<b>22,033</b>	<b>2,516,422</b>

**Description of Item**

In October 2011, CBP established two Industry Integration Centers for Excellence and Expertise (CEEs): the Electronics Center in Los Angeles and the Pharmaceuticals Center in New York. In FY 2013, with the additional funding provided, CBP, in consultation with its trade community partners, will establish 4 additional CEEs designed to address issues within critical trade sectors such as textiles, petroleum, consumer products and mass market retail imports, agriculture, automotive, machinery and manufacturing imports.

The Centers will continue CBP's efforts to increase uniformity of practices across the POEs, facilitate the timely resolution of trade compliance issues nationwide, improve enforcement efforts, and further strengthen critical agency knowledge on key industry practices.

The table below displays the annual funding breakouts for these efforts:

<b>Estimated Annual Funding Request for the Centers</b>		
<b>Activity</b>	<b>Description</b>	<b>Annual Funding Impact</b>
<b>Staffing</b>	<ul style="list-style-type: none"> <li>Hiring 5 new managers to ensure proper leadership/oversight</li> </ul>	\$1.122M
<b>Technology</b>	<ul style="list-style-type: none"> <li>Software, tools, and equipment to allow for virtual interaction and collaboration</li> </ul>	\$0.6M

	with private sector, other agencies and within CBP.	
<b>Training</b>	<ul style="list-style-type: none"> <li>• Rollout to 400 center employees will require additional investment in National Training Plan</li> <li>• A total of 2 training courses, each estimated at approximately \$300K for development</li> </ul>	\$0.6M
<b>Stakeholder Consultations</b>	<ul style="list-style-type: none"> <li>• Extensive outreach and collaboration with the private sector on Center activities and operations</li> </ul>	\$0.678M
	<b>TOTAL</b>	<b>\$3.0M</b>

**Justification**

The Centers will concentrate CBP's trade expertise on a single industry in a strategic location. They will be staffed with numerous trade positions using account management principles to authoritatively facilitate trade.

Through the Centers CBP will gain:

- greater uniformity in CBP operations and trade decisions;
- stronger expertise in modern industry practice;
- reduced costs and greater facilitation of trusted traders;
- efficient risk segmentation (reducing the “size of the haystack”) thereby allowing CBP to focus its resources on high-risk trade;
- more effective enforcement to address violators.

The Centers will serve as resources to the broader trade community and to CBP’s U.S. government partners. Center personnel will develop trade facilitation strategies, address uniformity and other facilitation barriers, and address compliance concerns, while serving as a resource to small and medium-sized businesses.

The Centers will also serve as a single point of processing for businesses enrolled in CBP’s trusted shipper programs: C-TPAT and Importer Self-Assessment (ISA). Required import documents for trusted partners within the electronics and pharmaceutical industries will be routed to their respective industry center. Initially revenue collection will continue to be carried out at the ports of entry, but the centers will perform all validation activities, protests, post entry amendment/post summary correction reviews, and prior disclosure validations for the trusted partners within their industry. The scope and functions of the centers will expand incrementally until all revenue related functions reside in the centers.

<b>Action</b>	<b>Benefits</b>
<b>Eliminates unnecessary transactional work from compliant imports</b>	<ul style="list-style-type: none"> <li>• Fewer cargo delays</li> <li>• Reduced costs</li> <li>• Greater predictability</li> </ul>
<b>POE focus shifts to high-risk shipments</b>	<ul style="list-style-type: none"> <li>• More complex enforcement work for highly skilled CBP employees</li> <li>• Improved enforcement results: <ul style="list-style-type: none"> <li>• Increased import safety</li> <li>• Increased revenue protection</li> <li>• Reduced economic loss due to IPR theft</li> </ul> </li> </ul>
<b>Single Point of Contact for inquiries</b>	<ul style="list-style-type: none"> <li>• Improved relationship with CBP as small/medium-sized importers have a streamlined inquiry process for resolving concerns.</li> <li>• Increased uniformity and transparency for the trade</li> <li>• Forum to work with other government agencies to address requirements efficiently</li> </ul>
<b>Cross-functional expertise</b>	<ul style="list-style-type: none"> <li>• Environment for in-depth learning to increase CBP expertise and therefore enforcement.</li> </ul>

**Impact on Performance (Relationship of Increase to Strategic Goals) –**

Trusted traders represent roughly 15 percent of all imports by volume and 24 percent by value. By redirecting work involving trusted traders to centralized, industry-specific locations, ports of entry will be able to more effectively focus resources on high-risk shipments and importers that may pose a danger to U.S. border security, harm the health and safety of consumers, or violate U.S. trade laws and intellectual property rights critical to our nation’s economic competitiveness. In turn, the approach to trade processing facilitated by the new centers will reduce transaction costs for the trade community, facilitate legitimate trade through risk segmentation, increase agency expertise and deliver greater transparency and uniformity of action within a given industry.

Industry Integration Centers supports the following Goals and Objectives:

DHS Strategic Goal: Protect our Nation from Dangerous People and Goods.

CBP Goal 1: Secure our Nation’s borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel

CBP Objective 1.2: Using a risk-based approach, deploy and employ the most effective inspection and scanning technology available at designated land border ports, airports, seaports, permanent Border Patrol traffic checkpoints, and international areas in which CBP operates to detect and prevent the entry of hazardous materials, goods, and instruments of terror into the United States.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 8:** Enhancement for Financial and Budgetary Management Systems  
PPA: MA Border Security and Control between Ports of Entry  
MA Border Security Inspections and Trade Facilitation  
Program Increase: Positions 0, FTE 0, Dollars \$3,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4,969	4,787	1,384,608
Program Increase							-	-	3,000
<b>Total Request</b>	<b>4,804</b>	<b>4,572</b>	<b>1,029,255</b>	<b>4,788</b>	<b>4,606</b>	<b>1,385,103</b>	<b>4,969</b>	<b>4,787</b>	<b>1,387,608</b>

**Description of Item**

The requested increase of \$3 million will provide enhancements and operations and maintenance costs to the Office of Administration’s (OA) base funding for the Systems, Application, and Products (SAP) maintenance. SAP is CBP’s integrated Enterprise Resource Planning (ERP) system for financial, procurement and asset management.

**Justification**

The annual cost to continue existing levels of support for operations and maintenance related to CBP’s SAP and associated systems have exceeded the current funding levels. The requested \$3 million increase will permit the continued essential maintenance necessary to perform critical functions to SAP. The increased costs are mainly due to rising user requirements, added development and support for new functionality, to include recent budget and cost management improvements, maintenance of interfaces to new systems, and general inflationary effects on labor expenses.

The strategic goals and objectives below were developed in the FY 2009–14 CBP Strategic Plan to provide a roadmap of activities for accomplishing the agency’s important mission. Certain cross-cutting enablers (improved intelligence and information sharing, expansion of partnerships, and management operations and organizational effectiveness) affect CBP’s ability to accomplish its mission and ultimately achieve its goals. CBP’s cross-cutting enablers are critical to its success in achieving its mission and must be a primary consideration in developing strategies and action plans to implement the CBP Strategic Plan.

The SAP program directly supports the following Cross-Cutting Enabler:

- Develop and implement the Strategic Management Framework (SMF), a strategic planning framework, to integrate CBP's multiyear strategic plan with its investment management, resource management, and program management processes, to ensure that CBP can acquire and effectively manage its resources to accomplish its top mission-focused goals and objectives in a way that maximizes return on investment.

Additionally, SAP enables DHS efforts to unify operations and management with integrated capabilities that support DHS goals and objectives via improved processing, management and reporting of financial, property, procurement, and budgetary data which result in faster and more accurate delivery of goods and services to operational capabilities. This support extends indirectly to other DHS components and other agencies that rely on support services and/or financial and related data to accomplish their performance objectives.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

This funding will provide for critical software upgrades and security patches, break fixes and mandatory changes to the system, and sufficient levels of user support to enable the accomplishment of critical business activity.

This request supports the following CBP and DHS goals and objectives:

- CBP Goal 1: Secure the Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.
- CBP Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.



**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 9:** Enhancement to Provide Situational Awareness via Video from Air Assets  
 PPA: MA Border Security and Control between Ports of Entry  
 MA Border Security Inspections and Trade Facilitation  
 Program Increase: Positions 0, FTE 0, Dollars \$3,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4,969	4,787	1,384,608
Program Increase							-	-	3,000
<b>Total Request</b>	<b>4,804</b>	<b>4,572</b>	<b>1,029,255</b>	<b>4,788</b>	<b>4,606</b>	<b>1,385,103</b>	<b>4,969</b>	<b>4,787</b>	<b>1,387,608</b>

**Description of Item**

The requested increase of \$3.0 million will support the acquisition of situational awareness via video from air assets. A project called “Big Pipe” is a video streaming capability from various CBP aerial and ground assets to provide situational awareness to CBP, DHS and OGAs; including but not limited to DOD, National Geospatial-Intelligence Agency (NGA), North American Aerospace Defense Command (NORAD), and Foreign Governments, as well as local and state law enforcement entities.

**Justification**

The enhancement will provide centralized infrastructure for Big Pipe capabilities at DHS Data Center 1 and 2. Specifically, it will provide a recurring funding stream to ensure the capability can be provided to meet DHS and CBP missions in the future.

This capability started after Hurricane Katrina and has been used extensively since to obtain situational awareness in a variety of situations, including national disasters and/or high visibility events. CBP requires the capability to transmit live streaming video, data, and audio from various aerial and ground assets using satellite and wireless technologies. The assets include the following but are not limited to: aircrafts, vehicles, ground stations, maritime vessels, as well as other mobile units. The system will allow CBP and DHS officials to view areas of interest in near real time and direct ground personnel/first responders to locations appropriate for the situation.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

The Situational Awareness via Video from Air Assets project is tied to the CBP's Mission Set 3, Goal 3.2, Initiative 3.2.2.1 "Ensuring state-of-the-art information technology support to CBP operations." Big Pipe is critical to ensure the continued support to the Full Motion Video (FMV) network infrastructure and common system for incident awareness. The acquisition of this asset will assist CBP and other Federal agencies with near real time situational awareness resulting in increased response times to significant incidents and national disasters.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 10:** Enhancements to Other International Programs  
PPA: Other international programs  
Program Increase: Positions 0, FTE 0, Dollars \$2,218

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							72	72	24,866
Program Increase							-	-	2,218
<b>Total Request</b>	<b>60</b>	<b>59</b>	<b>12,091</b>	<b>72</b>	<b>72</b>	<b>10,684</b>	<b>72</b>	<b>72</b>	<b>27,084</b>

**Description of Item**

The requested increase of \$2.218 million represents an increase to support non pay funding for the Office of International Affairs (INA).

**Justification**

The increase is requested for INA non labor funding for establishing and maintaining relationships with our strategic foreign partners to support the CBP operational mission. INA identifies, develops, implements, and coordinates specialized training and developmental assistance programs for foreign customs and other law enforcement officials and organizations. INA provides in-country advisory support for broad-based customs reform and modernization and ensures CBP influences policy throughout the world.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

These efforts contribute to CBP's overall mission of securing America's borders and securing and facilitating the flow of goods and movement of people. INA strives to extend U.S. borders by implementing programs and initiatives that promote anti-terrorism, global border security, non-proliferation, export controls, immigration, capacity building, and facilitating legitimate trade.

CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Reduction to Management and Administration Staffing & Services  
 PPA: MA Border Security and Control between Ports of Entry  
 Inspection and Detection Technology  
 Inspections Trade and Travel Facilitation  
 MA Border Security Inspections and Trade Facilitation  
 Program Decrease: Positions (122), FTE (122), Dollars \$(55,257)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							27,027	26,865	4,046,577
Program Decrease							(122)	(122)	(55,257)
<b>Total Request</b>	<b>25,649</b>	<b>24,773</b>	<b>3,711,024</b>	<b>26,846</b>	<b>26,549</b>	<b>4,017,875</b>	<b>26,905</b>	<b>26,743</b>	<b>3,991,320</b>

**Description of Item**

Administrative reviews identified efficiencies totaling \$55.257 million and 102 FTE associated with printing services, organizational studies, and liaison work with various audit activities. This includes Human Resource Management activities and decreases to Administrative Staff and expenses within the Office of the Commissioner, the Office of Information Technology, the Office of Administration, and the Office of Public Affairs.

**Justification**

These efficiencies include an array of services provided by government and contracted personnel, as well as supplies and systems. The decreases will be achieved as follows:

- **Headquarters Mission Support Personnel:** CBP will decrease support personnel in headquarters offices, to include Office of Administration, Office of Information Technology, Office of Training and Development, and Office of Public Affairs. This decrease in personnel will not impact CBP's ability to achieve its mission on the front lines. To help achieve this decrease, CBP will explore offering early retirements.
- **Administrative Functions:** This includes printing services and production, supplies, equipment, and organizational studies.

- Human Resources Functions: This includes decreases to the systems that are used to manage CBP personnel, as well as the medical, fitness and drug collection program; the employee assistance program (EAP); recruitment, hiring, and succession planning services; and the Occupational Safety and Health programs (OSHA). CBP will continue to comply with all legal requirements

A breakout of this reduction is follows:

<b><u>Area</u></b>	<b><u>Amount (dollars in thousands)</u></b>
Administrative Services	\$13,434
Awards and succession planning services	\$721
Human resources systems	\$2,200
Management and Administration Staffing	\$29,484
Office of Commissioner Expenses	\$1,980
Office of Trade's Administrative Support Services	\$717
OSHA programs	\$2,018
Public affairs support	\$389
Recruitment and hiring services	\$2,962
Medical, fitness, and drug collection and the employee assistance programs	\$1,352
<b><u>Total</u></b>	<b><u>\$55,257</u></b>

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

CBP is decreasing management and administration staffing and services to ensure our highest priority capabilities are fully funded to achieve our core missions: Mission 1, Securing America's Borders and Mission 2, Securing and Expediting the Movement of People and Flow of Goods. The decrease is necessary to offset personnel costs increasing at a rate faster than general payroll inflation factors, for the following reasons: the continued maturation of the newly hired workforce, including their promotions to full-performance journeyman; the increase of the journeyman grade for agents and officers; the low attrition rates; and an increased cost in workforce benefits, such as retirement and healthcare.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** Reduction to CBP Fleet Acquisition and Management  
 PPA: MA Border Security and Control between Ports of Entry  
 Border Security Control  
 MA Border Security Inspections and Trade Facilitation  
 Program Decrease: Positions 0, FTE 0, Dollars \$(41,221)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							28,270	28,093	4,947,604
Program Decrease							-	-	(41,221)
<b>Total Request</b>	<b>27,908</b>	<b>27,255</b>	<b>4,713,148</b>	<b>28,089</b>	<b>27,912</b>	<b>4,916,097</b>	<b>28,270</b>	<b>28,093</b>	<b>4,906,383</b>

**Description of Item**

Customs and Border Protection will defer replacing vehicles used for operations resulting in a savings of \$39.671 million. In addition, CBP will reduce projected fuel and maintenance expenses by \$1.550 million.

PPA	Dollar Amount	Program Change
Border Security and Control between Ports of Entry	1.550 M	Maintenance Service Reduction
Headquarters Management and Administration	39.671 M	Reduction to CBP Fleet
<b>Total</b>	<b>41.221 M</b>	

**Justification**

In FY 2011, CBP examined vehicle lifecycle criteria to reassess future year requirements in consideration to evolving field environments, manufacturer improvements and operational use. The resultant decisions extended vehicle lifecycles based on these stated variables. The new CBP expected vehicle lifecycle replacement criteria is 8 or 10 years, with the exception of the Office of Border Patrol Sport Utility Vehicles (SUVs), trucks, and sedans, which are now fixed at 6 years. These criteria were established by CBP Offices to maximize CBP vehicle funding while remaining sensitive to overall

impacts to CBP's mission at and between the POEs along the U.S. borders. The reassessment has in part alleviated the previously projected replacement requirement.

Concurrently, CBP continues to analyze and optimize the maintenance, repair and operation of the vehicle fleet while developing and implementing cost savings/avoidance strategies nationwide to optimize its aging fleet. This includes identifying best practices to support vehicles throughout an extended lifecycle while minimizing the impact increased maintenance activities could have to operational readiness.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

This decrease allows for the highest priority requirements to be accommodated, while accommodating other CBP capability requirements through re-allocation of financial resources.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 3:** Reduction to CBP IT Infrastructure & Systems Support  
PPA: MA Border Security and Control between Ports of Entry  
MA Border Security Inspections and Trade Facilitation  
Program Decrease: Positions 0, FTE 0, Dollars \$(36,751)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4,969	4,787	1,384,608
Program Decrease							-	-	(36,751)
<b>Total Request</b>	<b>4,804</b>	<b>4,572</b>	<b>1,029,255</b>	<b>4,788</b>	<b>4,606</b>	<b>1,385,103</b>	<b>4,969</b>	<b>4,787</b>	<b>1,347,857</b>

**Justification**

CBP will focus its capabilities on the core missions of securing the border, and trade and travel facilitation. In order to maintain these capabilities at the highest possible level, CBP will decrease capacity on programs that do not provide acceptable returns on the investment or not focused explicitly on our primary responsibilities. This decrease in funding may require CBP to continue to depend on the existing technology and IT infrastructure.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

CBP will work to mitigate any potential network availability or system slow down and outages. Network availability is estimated to drop to 98 percent, approximately 3.36 hours of downtime a week and TECS availability may be reduced to 99 percent, approximately 1.68 hours of downtime per week. In FY 2011 network availability was 99.87 percent, approximately 15 minutes of network downtime per week, and in FY 2011 TECS availability was 99.64 percent, approximately 40 minutes of TECS downtime per week. CBP currently targets a 99.9 percent availability rate for our mission critical systems. CBP is moving towards a 99.99 percent availability with its new high availability and high assurance infrastructure. CBP's eventual target is to move to an active-active infrastructure with load balancing so that it agency will never have to do a switch over – the system will always be available in a load balanced environment between data centers – that may finally allow CBP to finally achieve a 99.999 percent applications availability. The hours reported in the Justification of Program changes are an estimate of the increased downtime that maybe experienced by CBP, as some problems or issues may take longer to resolve. CBP is taking proactive steps to install end-to-end monitoring



tools that can provide more insight into the performance of the network in order to take advance action and maintain 24x7 service.

In addition, a decrease in funding leaves CBP without the ability to upgrade the infrastructure as additional equipment reaches the end of its life and may reduce program support for enterprise architecture, training, IT Governance, and Capital Planning and Investment Control.

CBP is trying to take some proactive steps to install end-to-end monitoring tools that can provide more insight into the performance of the network in order to take advance action and maintain 24x7 service.

In addition, a decrease in funding leaves CBP without the ability to upgrade the infrastructure as additional equipment reaches the end of its life and may reduce program support for enterprise architecture, training, IT Governance, and Capital Planning and Investment Control.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 4:** Reduction to NII Investments & O&M  
PPA: Inspection and Detection Technology  
National Targeting Center  
Program Decrease: Positions 0, FTE 0, Dollars \$(31,043)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							449	441	205,865
Program Decrease							-	-	(31,043)
<b>Total Request</b>	<b>400</b>	<b>386</b>	<b>186,960</b>	<b>449</b>	<b>409</b>	<b>200,487</b>	<b>449</b>	<b>441</b>	<b>174,822</b>

**Description of Item**

The \$31.043 million reduction in LOB 2 transitions the NII program to an Operations & Maintenance (O&M) steady state mode. With this shift in strategy, the program will rely on currently fielded equipment. The NII program will develop a risk mitigation plan to shift NII resources in order to meet mission requirements for facilitating the movement of legitimate trade and intercepting and screening high risk cargo and conveyances.

**Justification**

Since September 11, 2001, NII technology has been a cornerstone of CBP’s multi-layered enforcement strategy. CBP has 299 large-scale imaging systems deployed at and between our POEs. There is also a total of 5,199 small-scale NII units, 1,463 Radiation Portal Monitors (RPMs), 2,438 Radiation Isotope Identification Devices (RIIDs) and 24,913 Personal Radiation Detectors (PRDs) deployed nationwide. Each year, a number of POEs undergo reconfigurations in which the lanes of traffic that contain NII equipment and/or RPMs are moved or altered. Additionally, a number of port expansions where new lanes of traffic requiring new technologies are added each year. Typically these reconfigurations and port expansions accounted for approximately 20 percent of deployment efforts.

The O&M funding will be used to help deployed NII technologies meet expected CBP operational requirements. Funding will also support the RPM program to upgrade sites to be Port Radiation Inspection Detection and Evaluation (PRIDE) compliant. O&M funds provide maintenance support at approximately 600 locations throughout the U.S. and its territories. O&M funds will also be used to support RPM systems that are reaching the end of their life cycle and to supplement the interdiction systems with ancillary equipment and components to enhance their capability. Obsolescence of

equipment, lack of parts and spares will be the major impediment going forward as equipment ages and the cost to repair increases without equipment replacements.

**Impact on Performance (Relationship of Decrease to Strategic Goals):**

The NII Systems Program supports the Quadrennial Homeland Security Review Report Mission 1: Preventing Terrorism and Enhancing Security and Mission 2: Securing and Managing our Borders. The NII Systems Program also directly contributes to two DHS strategic goals: Goal 1: Protect our nation from dangerous people, and Goal 2: Protect our nation from dangerous goods.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 5:** Reduction to Field Operations Overtime  
PPA: Inspections Trade and Travel Facilitation  
Program Decrease: Positions 0, FTE 0, Dollars \$(21,106)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Decrease							-	-	(21,106)
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>22,006</b>	<b>22,028</b>	<b>2,492,316</b>

**Description of Item**

The Office of Field Operations will reduce its overage usage by \$21.106 million.

**Justification**

The Office of Field Operations will realize savings in overtime costs of \$21.106 million. This reduction will not impact operational staffing and CBP officers will be available to administer the full range of inspection, intelligence analysis, examination, and law enforcement activities that relates to the arrival and departure of persons, conveyances, and merchandise at our Nation's POEs.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

This re-tooling of staffing will not increase the wait times at the POEs and operational personnel will implement a strategy that adds flexibility and supports the changing operations that will occur as a result of peak-time operations. CBP intends to mitigate this reduction through the increased COBRA User Fee collections due to increased travel and the removal of the COBRA exemption for select countries.

In addition, CBP continues to pursue Business Transformation Initiatives, such as ready lanes in the land border environment, Global Entry kiosks in the air environment, and new mobile technologies. These initiatives shorten processing time by segmenting high risk and low risk traffic and this helps to reduce wait times as low risk traffic is cleared more quickly and efficiently and CBPOs are free to focus upon the higher risk traffic.

The sustainment of the officer workforce directly supports the DHS Strategic Goal: Preventing Terrorism and Enhancing Security.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 6:** Reduction to Academy Training and Operations  
 PPA: MA Border Security and Control between Ports of Entry  
 MA Border Security Inspections and Trade Facilitation  
 Training Between the Ports of Entry  
 Program Decrease: Positions 0, FTE 0, Dollars \$(14,671)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							371	369	88,781
Program Decrease							-	-	(14,671)
<b>Total Request</b>	<b>175</b>	<b>171</b>	<b>36,088</b>	<b>371</b>	<b>369</b>	<b>88,610</b>	<b>371</b>	<b>369</b>	<b>74,110</b>

**Description of Item**

CBP will realize a savings of \$14.7 million by reducing some specialized training such as succession management and leadership training. Mandatory training for new frontline employees to perform their duties and officer and agents certifications will be maintained.

**Justification**

OTD leads and directs CBP’s training programs. OTD ensures that all training efforts support the CBP mission and strategic goals, meets the needs of a diverse and geographically dispersed workforce, and contribute to measurable outcomes and results.

OTD provides basic and advanced training to all CBP occupations based on identified agency and organizational requirements. Basic and mandatory training programs take priority for the agency as these programs are necessary for new recruits to perform their duties and for existing officers and agents to maintain certification in mission critical functions.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The mandatory training for new recruits to perform their duties will be maintained and officer and agent certifications will be sustained. Funding trade-offs will occur in other advanced training designed to expand and promote growth of CBP personnel including various forms of specialty training.

This decrease preserves CBP's overall strategic goal (3.1.2) to provide CBP agents, officers and mission support personnel with the necessary resources and support for their professional development.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 7:** Reduction to CBP Transportation Program  
PPA: Border Security Control  
Program Decrease: Positions 0, FTE 0, Dollars \$(12,258)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							23,301	23,306	3,562,996
Program Decrease							-	-	(12,258)
<b>Total Request</b>	<b>23,104</b>	<b>22,683</b>	<b>3,683,893</b>	<b>23,301</b>	<b>23,306</b>	<b>3,530,994</b>	<b>23,301</b>	<b>23,306</b>	<b>3,550,738</b>

**Description of Item**

CBP will realize a savings of \$12.258 million due to a reduction to transportation workload and through cost efficiencies. This savings will be acquired through reconfiguration of the assets used in meeting the lower workload requirements and cost reductions gained from the re-competition of the transportation contract.

**Justification**

The Transportation Program transports detainees at and between the U.S. ports of entry. The program goal is to relieve apprehending officers and agents of transport and guard functions in order to perform higher priority law enforcement missions.

The Transportation Program Management Office is developing an integrated system of detainee transportation, security, medical guard services, and administrative support serving the varying needs at the Southwest border. The decrease is associated with the planned expansion of the Transportation Program to the northern and coastal borders. In addition, further cost reductions will be made in the Southwest border by prioritizing mission support and improving operational efficiency. Contract strategies are being prepared to add additional flexibility to support changing operations along the Southwest border.



### **Impact on Performance (Relationship of Decrease to Strategic Goals)**

The decrease to the Transportation Program will reduce costs and support the highest priority of maintaining maximum agent staffing along the border. The sustainment of the agent workforce directly supports DHS goals 2.1.1 and 2.3.2 for Securing and Managing Our Borders. It also supports CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel. The decrease in costs will ensure maximum effectiveness of the agent force at the lowest possible costs.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 8:** Reduction to Field Support Staff  
 PPA: Inspections Trade and Travel Facilitation  
 Border Security Control  
 Air and Marine Operations Personnel Compensation and Benefits  
 Program Decrease: Positions (66), FTE (66), Dollars \$(9,213)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							47,226	47,249	6,364,686
Program Decrease							(66)	(66)	(9,213)
<b>Total Request</b>	<b>45,832</b>	<b>44,734</b>	<b>6,525,941</b>	<b>47,226</b>	<b>47,114</b>	<b>6,303,130</b>	<b>47,160</b>	<b>47,183</b>	<b>6,355,473</b>

**Description of Item**

CBP has undertaken a review of operational support requirements through the field locations and adjusted position authorizations to reflect the review recommended changes. These adjustments will yield a savings of \$9.213 million.

The decreases will be taken from the following PPAs:

Funding Decrease (in thousands)	FTE Decrease	PPA
\$4,746	34	Inspections, Trade, and Travel Facilitation at the Ports of Entry
\$4,048	29	Border Security and Control Between the Ports of Entry
\$419	3	Air and Marine Salaries

**Justification**

CBP has reviewed operational support requirements throughout the field locations and has adjusted position authorizations to reflect recommended changes. CBP seeks to mirror the greater cohesion of front line staff with improved integration of CBP's field mission support staff. CBP will work to consolidate efforts by geographical locations. CBP proposes that the decreases will reflect savings from integrating and leveraging limited resources across operational offices.

### **Impact on Performance (Relationship of Decrease to Strategic Goals)**

The targeted decreases to the CBP Mission Support Line of Business across these three PPAs will enable CBP to support the highest priority of maintaining maximum agent staffing along the border. It directly supports the DHS goals 2.1.1 and 2.3.2 for Securing and Managing Our Borders. It also supports CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 9:** Reduction to Air and Marine Staff  
PPA: Air and Marine Operations Personnel Compensation and Benefits  
Program Decrease: Positions (42), FTE (42), Dollars \$(7,030)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1,919	1,915	288,268
Program Decrease							(42)	(42)	(7,030)
<b>Total Request</b>	<b>1,935</b>	<b>1,899</b>	<b>300,128</b>	<b>1,919</b>	<b>1,915</b>	<b>287,901</b>	<b>1,877</b>	<b>1,873</b>	<b>281,238</b>

**Description of Item**

CBP will reduce OAM staff in order to preserve staffing levels for core frontline personnel. This will be achieved by aggressively managing recruiting and attrition and making use of various tools to draw down the workforce.

**Justification**

A reduction of \$7.030 million equates to a loss of 42 OAM positions. This reduction will be achieved through workforce re-shaping efforts. The decrease will be achieved by managing recruiting and attrition and making use of a number of tools to draw down the workforce including Voluntary Early Retirement (VERA), and Voluntary Separation Incentive Payments (VSIP).

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

This reduction will enable CBP to support its highest priority of maintaining core frontline personnel. While reductions are planned primarily through attritions and mandatory retirements, it is not anticipated these reductions will have substantial impacts on either headquarters or field operations.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 10:** Reduction associated with suspending WHTI/LBI Procurement  
PPA: Inspections Trade and Travel Facilitation  
Program Decrease: Positions 0, FTE 0, Dollars \$(6,000)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Decrease							-	-	(6,000)
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>22,006</b>	<b>22,028</b>	<b>2,507,422</b>

**Description of Item**

CBP will decrease the Western Hemisphere Travel Initiative Land Border Integration (WHTI/LBI) procurement program by \$6.0 million. The decrease will no affect programmatic operations. CBP will maintain its current deployed investment and process improvements as well as the operations and maintenance of this program.

**Justification**

WHTI/LBI program is in a sustainment mode. CBP will implement a strategy to reduce focus on the procurement functionalities while maintaining current operational levels and focus strategies towards more critical mission areas.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

CBP anticipates a manageable operation as a result of this decrease and will employ standard mitigation procedures should the need arise.

WHTI supports the following CBP and DHS goals and objectives:

DHS Strategic Goals: Preventing Terrorism and Enhancing Security; Securing and Managing Our Borders.

CBP Goal 1: Secure the Nation’s borders to protect America from the entry of dangerous people and good and prevent unlawful trade and travel.

CBP Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of appropriate mix of infrastructure, technology and personnel.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 11:** Reduction associated with extending C-TPAT Validation Cycle to 4 years  
 PPA:  
 Program Decrease: Positions 0, FTE 0, Dollars \$(5,000)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							248	244	45,082
Program Decrease							-	-	(5,000)
<b>Total Request</b>	<b>279</b>	<b>270</b>	<b>44,520</b>	<b>248</b>	<b>244</b>	<b>44,979</b>	<b>248</b>	<b>244</b>	<b>40,082</b>

**Description of Item**

C-TPAT will extend the validation cycle to four years as mandated by the Security and Accountability for Every (SAFE) Port Act of 2006 (P.L. 109-347). In past years, CBP accelerated the re-validation schedule to once every three years for all importers, carriers and for manufacturers and more specifically once every year for Mexico highway carriers which are considered to be high risk. This extension to a four year cycle will yield a savings of \$5 million.

**Justification**

C-TPAT personnel have aggressively worked to identify and successfully implement travel and validation procedures aimed at maximizing remaining program resources. C-TPAT will conduct more regionally-focused operations and fewer domestic site visits, and conduct annual training for the trade community every other year. The program will pursue more mutual recognition arrangements with foreign customs administrations and strategically merge C-TPAT field offices. Additionally, the program will eliminate contractors and Personal Digital Assistants for Supply Chain Security Specialists. Finally, the program will seek to achieve a “maintenance only” status for the web-based portal system.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

CBP will use a phased approach with the implementation of the necessary enhancements to the Automated Web-Base Portal System. The enhancements will be implemented over an extended period of time. C-TPAT will delay the development of the second generation automated portal system required to meet existing and future workload requirements.

Moving to a four year validation cycle across the board will reduce the number of validations in FY 2013 resulting in fewer validations performed each fiscal year. CBP will meet all timelines and responsibilities as mandated by the Security and Accountability for Every Port Act of 2006 (P. L. 109-347).

The initiative supports the following DHS and CBP goals and objectives:

DHS Strategic Goal: Preventing Terrorism and Enhancing Security

CBP Goal 1: Secure the Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

CBP Objective 1.1: Establish and maintain effective control of air, land, and maritime borders through the use of the appropriate mix of infrastructure, technology, and personnel.



**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 12:** Reduction associated with Rescoping IAP Program in Incheon and Warsaw  
PPA: Inspections Trade and Travel Facilitation  
Program Decrease: Positions 0, FTE 0, Dollars \$(3,463)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Decrease							-	-	(3,463)
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>22,006</b>	<b>22,028</b>	<b>2,509,959</b>

**Description of Item**

CBP will realize a savings of \$3.463 million from ceasing IAP operations in Warsaw, Poland and Incheon, South Korea. The closures will allow CBP to maintain its international footprint while expanding the IAP program to other locations.

**Justification**

CBP will maintain its risk-based international footprint by expanding the IAP program to other locations allowing CBP officers to cover known individuals of interest (matches to the watchlist), and the unknown individuals identified through targeting and intelligence.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The goal of the IAP is to protect air travel and improve national security. IAP will incorporate mitigation strategies to ensure that security and enforcement capabilities are not degraded and to realign staff to support these functional areas.

The IAP program supports the following CBP and DHS goals and objectives:

DHS Goals: 1.1 Prevent Terrorist Attacks; 2.1 Effectively Control U.S. Air, Land, and Sea Borders;  
3.2 Prevent Unlawful Immigration:

CBP Goal 2: Securing and Expediting the Movement of People and the Flow of Goods

CBP Goal 2.2: Intercept Threats Away From the Physical Border

Objective 2.2.: Develop and deploy the optimal international footprint for CBP, combining physical presence, virtual presence, use of locally engaged staff, and reciprocal relationships with foreign partners.

Initiative 2.2.1.1: Conduct a systematic review of the Immigration Advisory Program, Container Security Initiative and Secure Freight Initiative, and preclearance programs to maximize their efficiency, expand or adapt those programs as appropriate to changing threats, and systematize their operation.

Initiative 2.2.1.3: Identify foreign locations where a physical presence by CBP Attaches and Representatives is necessary to achieve CBP's strategic goals and secure approval for and placement of personnel there.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 13:** Reduction to Legacy Application Standardization  
 PPA: MA Border Security and Control between Ports of Entry  
 MA Border Security Inspections and Trade Facilitation  
 Program Decrease: Positions 0, FTE 0, Dollars \$(2,938)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							4,969	4,787	1,384,608
Program Decrease							-	-	(2,938)
<b>Total Request</b>	<b>4,804</b>	<b>4,572</b>	<b>1,029,255</b>	<b>4,788</b>	<b>4,606</b>	<b>1,385,103</b>	<b>4,969</b>	<b>4,787</b>	<b>1,381,670</b>

**Description of Item**

CBP budget request includes a reduction of \$2.938 million for Legacy Application Standardization. CBP will be consolidating infrastructure environments where possible, and looking to retire/consolidate legacy government developed applications.

**Justification**

The deployment of Universal Technology Operating Platform & Integration Appliance (UTOPIA) will provide the infrastructure necessary to consolidate/host CBP developed applications in a manner that will give Program Offices the best opportunity to gain efficiencies in common Operations & Maintenance, consistent back-up and recovery, fail-over, and eventually shared data infrastructure.

- UTOPIA will accomplish this through the use of technologies such as load balancing, web server, application server, and database servers.
  - Support for future applications using the Common Application Integration Project/Enterprise Service Bus (ESB) model
  - Support for existing Java and .Net applications to allow them to migrate to the UTOPIA
- Provide standardized infrastructure design to support rapid provisioning of environments.
- Reduce the complexity and number of different application technology stacks.
- Facilitate adoption of standardized application technology stacks.
- Leverage application infrastructure as a general support system to drastically reduce Certification & Accreditation (C&A) efforts when deploying new applications

The goal is to consolidate commodity hardware and COTS infrastructure that supports the ability to scale both up and out. This type of environment reduces the cost of hardware and provides High Availability by removing any single points of failure. The implementation provides the ability to scale applications by adding additional commodity servers as well as by leveraging virtualization and clustering. The application framework provides additional functionality in that it supports multiple designs including portal, Single Sign-On, ESB, and Service Oriented Architecture. The flexibility of the design enables current applications to move to the environment without significant modifications. As business users identify new requirements, application teams can adopt the advanced technologies supported by the UTOPIA.

### **Impact on Performance (Relationship of Decrease to Strategic Goals)**

Without the successful deployment of UTOPIA, the development Program Offices will continue to use the current practice of installing and building each individual component of the infrastructure. This approach is complex, costly, time consuming, and significantly hinders the scalability of the CBP infrastructure.

This program decrease is being taken to support higher priority missions; Mission 1, Securing America's Borders and Mission 2, Securing and Expediting the Movement of People and Flow of Goods. CBP personnel costs are increasing at a rate faster than payroll inflation factors. The following are reasons why CBP personnel costs have continued to grow: continued maturation of the newly hired workforce, including their promotions to full performance journeyman; the increase of the journeyman grade for agents and officers; the low attrition rates; and increased workforce benefits, such as retirement and healthcare.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 14:** Reduction to Trade National Account Manager, Rulings, & Revenue Policy Staff  
 PPA: Inspections Trade and Travel Facilitation  
 Program Decrease: Positions (21), FTE (21), Dollars \$(2,360)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Decrease							(21)	(21)	(2,360)
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>21,985</b>	<b>22,007</b>	<b>2,511,062</b>

**Description of Item**

This request includes a savings of \$2.360 million which will be realized by reducing FTEs in the following offices: 2 FTE National Account Managers (NAMS); 5 FTE from Trade, Policy and Program (TPP) Revenue Branch; and 14 FTE from the Regulations and Rulings (RR) Policy Staff.

**Justification**

These reductions will ensure that our highest priority capabilities are fully funded to achieve our core missions.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The cost reduction will enable CBP to support its highest priorities. The sustainment of the officer workforce directly supports the DHS goal 2: Securing and Managing Our Borders and CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 15:** Reduction associated with closing 2 National Targeting & Analysis Groups  
 PPA: Inspections Trade and Travel Facilitation  
 Program Decrease: Positions (12), FTE (12), Dollars \$(1,386)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							22,006	22,028	2,513,422
Program Decrease							(12)	(12)	(1,386)
<b>Total Request</b>	<b>20,793</b>	<b>20,152</b>	<b>2,541,920</b>	<b>22,006</b>	<b>21,893</b>	<b>2,484,235</b>	<b>21,994</b>	<b>22,016</b>	<b>2,512,036</b>

**Description of Item**

CBP will close two National Targeting and Analysis Groups (NTAG); one located in Dallas, Texas and the other in Chicago, Illinois. These closures will yield a savings of \$1.386 million.

**Justification**

The workload generated by the Dallas and Chicago NTAG facilities would shift to other existing NTAGs. CBP will reduce its International Trade Specialists by 12 FTEs. This reduction will primarily affect the International Trade Specialists working on revenue collection issues. Consequently, the workload associated with revenue collections will be shifted to the NTAGs. International Trade Specialists at the remaining NTAGs, who currently develop targeting, analysis and measures for IPR AD/CVD, and Textiles, would absorb the targeting, analysis and measures for Agriculture, Trade Agreements, and Revenue. This strategy minimizes the effect of losing these NTAGs.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

NTAG supports the following CBP and DHS goals and objectives:

DHS Goal 2: Effectively Control U.S. Air, Land, and Sea Borders

CBP Goal 2: Ensure the efficient flow of legitimate trade and travel across U.S. borders.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 16:** Deactivation of 9 inland Border Patrol Stations  
PPA: Border Security Control  
Program Decrease: Positions 0, FTE 0, Dollars \$(1,300)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							23,301	23,306	3,562,996
Program Decrease							-	-	(1,300)
<b>Total Request</b>	<b>23,104</b>	<b>22,683</b>	<b>3,683,893</b>	<b>23,301</b>	<b>23,306</b>	<b>3,530,994</b>	<b>23,301</b>	<b>23,306</b>	<b>3,561,696</b>

**Description of Item**

OBP recommends the deactivation of nine inland stations. The stations are: Billings, MT; Twin Falls, ID; Abilene, Texas; San Angelo, TX; Riverside, CA; Dallas, TX; San Antonio, TX; Lubbock, TX; and Amarillo, TX.

**Justification**

These locations were chosen on the basis of a study that looked at a larger population of inland stations. The study assessed the stations' operational utility relative to the Border Patrol's current operating environment and their contributions to operations at the immediate border. The evaluation included an assessment of historical apprehension data and a review of the operational risk associated with deactivation. The 43 agents currently assigned to these positions will be reassigned to other stations. The \$1.3 million in estimated savings is comprised of \$1.1 million in costs associated with GSA or CBP leases and approximately \$200 thousand in utility costs.

**Impact on Performance (Relationship of Decrease to Strategic Goals):**

The deactivation of these inland stations is necessary to reduce costs and support CBP's priority to maintain maximum agent staffing along the border. It directly supports DHS goals 2.1.1 and 2.3.2 for Securing and Managing Our Borders. It also supports CBP Goal 1: Secure our Nation's borders to protect America from the entry of dangerous people and goods and prevent unlawful trade and travel. The decrease will ensure maximum effectiveness of the agent force while reducing costs and realizing efficiencies elsewhere. Without this decrease, the alternative to reduce costs would be to reduce the agent force, risking increased illegal entries between the ports of entry.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

For necessary expenses for enforcement of laws relating to border security, immigration, customs, agricultural inspections and regulatory activities related to plant and animal imports, and transportation of unaccompanied minor aliens; purchase and lease of up to 7,500 (6,500 for replacement only) police-type vehicles; and contracting with individuals for personal services abroad; [\$8,680,118,000] **\$9,010,581,000**; of which [\$3,274,000] **\$3,285,000** shall be derived from the Harbor Maintenance Trust Fund for administrative expenses related to the collection of the Harbor Maintenance Fee pursuant to section 9505(c)(3) of the Internal Revenue Code of 1986 (26 U.S.C. 9505(c)(3)) and notwithstanding section 1511(e)(1) of the Homeland Security Act of 2002 (6 U.S.C. 551(e)(1)); of which not to exceed \$38,250 shall be for official reception and representation expenses; of which not less than [\$287,901,000] **\$280,819,000** shall be for Air and Marine Operations; of which such sums as become available in the Customs User Fee Account, except sums subject to section 13031(f)(3) of the Consolidated Omnibus Budget Reconciliation Act of 1985 (19 U.S.C. 58c(f)(3)), shall be derived from that account; of which not to exceed \$150,000 shall be available for payment for rental space in connection with preclearance operations; of which not to exceed \$1,000,000 shall be for awards of compensation to informants, to be accounted for solely under the certificate of the Secretary of Homeland Security: Provided, That for fiscal year [2012] **2013**, the overtime limitation prescribed in section 5(c)(1) of the Act of February 13, 1911 (19 U.S.C. 267(c)(1)) shall be [\$35,000] **\$40,000**; and notwithstanding any other provision of law, none of the funds appropriated by this Act may be available to compensate any employee of U.S. Customs and Border Protection for overtime, from whatever source, in an amount that exceeds such limitation, except in individual cases determined by the Secretary of Homeland Security, or the designee of the Secretary, to be necessary for national security purposes, to prevent excessive costs, or in cases of immigration emergencies: **Provided further, That of the amount provided under this heading, \$261,523,000 is for necessary expenses for the United States Visitor and Immigrant Status Indicator Technology program, as authorized by section 110 of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1365a), of which \$161,110,000 shall remain available until September 30, 2015.** [: Provided further, That the Border Patrol shall maintain an active duty presence of not less than 21,370 full-time equivalent agents protecting the borders of the United States in the fiscal year: Provided further, That the Commissioner of U.S. Customs and Border Protection shall submit to the Committees on Appropriations of the Senate and the House of Representatives, with the congressional budget justification, a multi-year investment and management plan, to include each fiscal year starting with the current fiscal year and the 3 subsequent fiscal years, for inspection and detection technology supporting operations under this heading, including all non-intrusive inspection and radiation detection technology, that provides\_]

[(1) the funding level for all inspection and detection technology equipment by source;]

[(2) the inventory of inspection and detection technology equipment by type and age;]

[(3) the proposed appropriations for procurement of inspection and detection technology equipment by type, including quantity, for deployment, and for operations and maintenance;]

[(4) projected funding levels for procurement of inspection and detection technology equipment by type, including quantity, for deployment, and for operations and maintenance for each of the 3 subsequent fiscal years; and]

[(5) a current acquisition program baseline that\_]

[(A) aligns the acquisition of each technology to mission requirements by defining existing capabilities]



of comparable legacy technology assets, identifying known capability gaps between such existing capabilities and stated mission requirements, and explaining how the acquisition of each technology will address such known capability gaps;]

[(B) defines life-cycle costs for each technology, including all associated costs of major acquisitions systems infrastructure and transition to operations, delineated by purpose and fiscal year for the projected service life of the technology; and]

[(C) includes a phase-out and decommissioning schedule delineated by fiscal year for existing legacy technology assets that each technology is intended to replace or recapitalize].(Department of Homeland Security Appropriations Act, 2012.)

**Explanation of Changes:**

## B. FY 2012 to FY 2013 Budget Change

### Department of Homeland Security U.S. Customs and Border Protection Salaries and Expenses FY2012 to FY2013 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>52,042</b>	<b>50,667</b>	<b>8,464,668</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>53,598</b>	<b>53,249</b>	<b>8,680,118</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Realignment of Funding for Targeting Systems	-	-	7,000
Transfer for centralized utilities management	-	-	(14,130)
Transfer of US-VISIT to CBP	351	338	261,523
Transfer to Further Consolidate CBP Rent Program	-	-	2,274
Transfers to Realign OTIA funding to S&E	181	181	23,627
<b>Total, Transfers</b>	<b>532</b>	<b>519</b>	<b>280,294</b>
<b>Increases</b>	-	-	-
Adjustment for Rent	-	-	97,841
Adjustment for Workers and Unemployment Compensation Requirements	-	-	6,240
Annualization of FY 2009 War Supp. Combating Southbound (125 CBPOs)	-	-	4,906
Annualization of FY 2010 Border Security Supplemental (1000 BPAs)	-	-	19,606
Annualization of FY 2010 Border Security Supplemental (250 CBPOs)	-	-	4,576
Annualization of FY 2010 Combating Southbound (44 BPAs)	-	-	1,235
Annualization of FY 2010 Import Safety Initiative	-	-	7,952
Annualization of FY 2011 CBPO Staffing (318 CBPOs)	-	-	5,747
Annualization of FY 2012 Field Operations positions to staff new ports of entry	-	130	2,226
Annualization of FY 2012 National Targeting Center	-	32	3,531
FY 2013 Pay Increase	-	-	25,542
Increase in pay requirements due to lower Border Patrol Agent attrition	-	-	38,091
Working capital fund	-	-	34,090
<b>Total, Increases</b>	<b>-</b>	<b>162</b>	<b>251,583</b>
<b>Decreases</b>	-	-	-
Annualization of FY 2012 Immigration Advisory Program	-	5	(919)
CSI Dedicated Circuits Efficiencies	-	-	(1,419)
Efficiency from decentralization of CBP Discipline Program	-	-	(386)
Management Efficiencies [DHS Strategic Sourcing Initiatives]	-	-	(6,741)
Management Efficiencies [Management Efficiency]	-	-	(7,380)
Management Efficiencies [OFPP Directed Purchasing Savings]	-	-	(31,543)
Management Efficiencies [Overtime]	-	-	(520)
Management Efficiencies [PCS costs]	-	-	(3,692)
Management Efficiencies [TDY and Travel]	-	-	(17,749)
<b>Total, Decreases</b>	<b>-</b>	<b>5</b>	<b>(70,349)</b>
<b>Total, Adjustments-to-Base</b>	<b>532</b>	<b>686</b>	<b>461,528</b>
<b>FY 2013 Current Services</b>	<b>54,130</b>	<b>53,935</b>	<b>9,141,646</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Enhancement for Automated Targeting Systems O&M	-	-	31,000
Enhancement for Centers of Excellence and Expertise	5	5	3,000
Enhancement for Financial and Budgetary Management Systems	-	-	3,000
Enhancement for IPR Enforcement	-	-	10,000
Enhancement to NTC	-	-	7,980
Enhancement to Provide Situational Awareness via Video from Air Assets	-	-	3,000
Enhancement to Targeting Systems and Staff	25	25	38,702
Enhancement to restore CSI to FY11 Levels	-	-	13,032
Enhancements to Other International Programs	-	-	2,218

ICE Medical Detention Support	-	-	8,000
<b>Total, Increases</b>	<b>30</b>	<b>30</b>	<b>119,932</b>
<b>Decreases</b>	-	-	-
Deactivation of 9 inland Border Patrol Stations	-	-	(1,300)
Reduction associated with Rescoping IAP Program in Incheon and Warsaw	-	-	(3,463)
Reduction associated with closing 2 National Targeting & Analysis Groups	(12)	(12)	(1,386)
Reduction associated with extending C-TPAT Validation Cycle to 4 Years	-	-	(5,000)
Reduction associated with suspending WHTI/LBI Procurement	-	-	(6,000)
Reduction to Academy Training and Operations	-	-	(14,671)
Reduction to Air and Marine Staff	(42)	(42)	(7,030)
Reduction to CBP Fleet Acquisition and Management	-	-	(41,221)
Reduction to CBP IT Infrastructure & Systems Support	-	-	(36,751)
Reduction to CBP Transportation Program	-	-	(12,258)
Reduction to Field Operations Overtime	-	-	(21,106)
Reduction to Field Support Staff	(66)	(66)	(9,213)
Reduction to Legacy Application Standardization	-	-	(2,938)
Reduction to Management and Administration Staffing & Services	(122)	(122)	(55,257)
Reduction to NII Investments & O&M	-	-	(31,043)
Reduction to Trade's National Account Manager, Rulings, & Revenue Policy Staff	(21)	(21)	(2,360)
<b>Total, Decreases</b>	<b>(263)</b>	<b>(263)</b>	<b>(250,997)</b>
<b>Total, Program Changes</b>	<b>(233)</b>	<b>(233)</b>	<b>(131,065)</b>
<b>FY 2013 Requested Budget Authority</b>	<b>53,897</b>	<b>53,702</b>	<b>9,010,581</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>299</b>	<b>453</b>	<b>330,463</b>

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	52,042	50,667	8,464,668
<b>FY 2012 Enacted Budget Authority</b>	53,598	53,249	8,680,118
<b>Adjustments-to-Base</b>	-	-	-
Transfers	532	519	280,294
Increases	-	162	251,583
Decreases	-	5	(70,349)
<b>Total, Adjustments-to-Base</b>	532	686	461,528
<b>FY 2013 Current Services</b>	54,130	53,935	9,141,646
<b>Program Changes</b>	-	-	-
Increases	30	30	119,932
Decreases	(263)	(263)	(250,997)
<b>Total, Program Changes</b>	(233)	(233)	(131,065)
<b>FY 2013 Requested Budget Authority</b>	53,897	53,702	9,010,581
<b>FY 2012 to FY 2013 Total Change</b>	299	453	330,463

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
MA Border Security Inspections and Trade Facilitation	2,380	2,288	667,794	90	90	(6,581)	(47)	(47)	(59,799)	2,423	2,331	601,414	43	43	(66,380)
MA Border Security and Control between Ports of Entry	2,408	2,318	717,309	91	91	6,086	(50)	(50)	(57,749)	2,449	2,359	665,646	41	41	(51,663)
Rent	-	-	483,749	-	-	131,122	-	-	-	-	-	614,871	-	-	131,122
Inspections Trade and Travel Facilitation	22,006	21,893	2,484,235	-	135	29,187	(62)	(62)	(32,748)	21,944	21,966	2,480,674	(62)	73	(3,561)
Harbor Maintenance Fee Collection (Trust Fund)	-	-	3,274	-	-	11	-	-	-	-	-	3,285	-	-	11
International Cargo Screening	374	368	74,557	-	-	(16,055)	-	-	13,032	374	368	71,534	-	-	(3,023)
Other international programs	72	72	10,684	-	-	14,182	-	-	2,218	72	72	27,084	-	-	16,400
C-TPAT	248	244	44,979	-	-	103	-	-	(5,000)	248	244	40,082	-	-	(4,897)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Trusted Traveler Programs (TTP)	-	-	6,311	-	-	-	-	-	-	-	-	6,311	-	-	-
Inspection and Detection Technology	52	50	148,537	-	-	10	-	-	(30,972)	52	50	117,575	-	-	(30,962)
Systems for Targeting	34	32	41,400	-	-	7,006	-	-	65,420	34	32	113,826	-	-	72,426
National Targeting Center	397	359	51,950	-	32	5,368	-	-	7,809	397	391	65,127	-	32	13,177
Training at the Ports of Entry	36	35	37,834	-	-	(2,974)	-	-	-	36	35	34,860	-	-	(2,974)
Border Security Control	23,301	23,306	3,530,994	-	-	32,002	(29)	(29)	(11,156)	23,272	23,277	3,551,840	(29)	(29)	20,846
Training Between the Ports of Entry	371	369	88,610	-	-	171	-	-	(14,671)	371	369	74,110	-	-	(14,500)
Air and Marine Operations Personnel Compensation and Benefits	1,919	1,915	287,901	-	-	367	(45)	(45)	(7,449)	1,874	1,870	280,819	(45)	(45)	(7,082)
US VISIT	-	-	-	351	338	261,523	-	-	-	351	338	261,523	351	338	261,523
<b>Total</b>	<b>53,598</b>	<b>53,249</b>	<b>8,680,118</b>	<b>532</b>	<b>686</b>	<b>461,528</b>	<b>(233)</b>	<b>(233)</b>	<b>(131,065)</b>	<b>53,897</b>	<b>53,702</b>	<b>9,010,581</b>	<b>299</b>	<b>453</b>	<b>330,463</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Department of Defense	-	-	1,826	-	-	1,826	-	-	1,826	-	-	-
Department of Homeland Security	-	-	40,275	-	-	40,275	-	-	40,275	-	-	-
Department of State	-	-	10,087	-	-	10,087	-	-	10,087	-	-	-
FPS	-	-	1,747	-	-	1,747	-	-	1,747	-	-	-
Federal Emergency Management Agency	-	-	1,781	-	-	1,781	-	-	1,781	-	-	-
Immigration and Customs Enforcement	-	-	27,331	-	-	27,331	-	-	27,331	-	-	-
Proceeds of Sale	-	-	10,380	-	-	10,380	-	-	10,380	-	-	-
Transportation Security Administration	-	-	3,425	-	-	3,425	-	-	3,425	-	-	-
US Coast Guard	-	-	4,471	-	-	4,471	-	-	4,471	-	-	-
US VISIT	-	-	9,093	-	-	9,093	-	-	9,093	-	-	-
VARIOUS	-	-	2,400	-	-	2,400	-	-	2,400	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>112,816</b>	-	-	<b>112,816</b>	-	-	<b>112,816</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Air and Marine Operations	-	-	4,705	-	-	4,705	-	-	4,705	-	-	-
Border Security and Control between Ports of Entry	-	-	1,036	-	-	1,036	-	-	1,036	-	-	-
Headquarters Management and Administration	-	-	92,813	-	-	92,813	-	-	92,813	-	-	-
Inspections Trade and Travel Facilitation at POEs	-	-	1,411	-	-	1,411	-	-	1,411	-	-	-
Other International Programs	-	-	12,851	-	-	12,851	-	-	12,851	-	-	-
<b>Total Obligations</b>	-	-	<b>112,816</b>	-	-	<b>112,816</b>	-	-	<b>112,816</b>	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	3,617,312	3,891,629	3,964,512	72,883
11.3 Other than full-time permanent	17,028	28,619	29,038	419
11.5 Other personnel compensation	283,110	308,869	314,513	5,644
11.6 Pay Diff (Sun/Night)	513,128	424,007	434,475	10,468
11.7 Military personnel/Awards	34,273	46,168	46,236	68
11.8 Special Service Pay	109	-	-	-
12.1 Benefits	1,795,903	1,934,422	1,984,143	49,721
12.4 Allowances	93,174	5,877	6,652	775
12.6 Temp Quarters	32,497	35,541	31,418	(4,123)
13.0 Unemployment Compensation	4,044	640	2,834	2,194
<b>Total, Personnel and Other Compensation Benefits</b>	<b>6,390,578</b>	<b>6,675,772</b>	<b>6,813,821</b>	<b>138,049</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	145,030	181,431	171,347	(10,084)
22.0 Transportation of things	11,998	6,151	5,540	(611)
23.1 GSA rent	413,556	435,553	541,927	106,374
23.2 Other rent	31,083	28,641	38,714	10,073
23.3 Communications, utilities, and misc. charges	132,533	107,557	103,894	(3,663)
24.0 Printing	7,302	8,257	8,487	230
25.1 Advisory and assistance services	5,237	3,197	22,581	19,384
25.2 Other services	542,694	695,415	637,196	(58,219)
25.3 Purchases from Gov't accts.	131,864	45,694	95,672	49,978
25.4 O&M of facilities	79,025	35,671	51,916	16,245
25.5 R&D of contracts	-	1	-	(1)
25.6 Medical care	23,211	2,773	992	(1,781)
25.7 Operation and maintenance of equipment	135,725	2,342	73,924	71,582
25.8 Subsistence & Support of persons	3,369	-	402	402
26.0 Supplies and materials	170,192	157,472	147,963	(9,509)
31.0 Equipment	237,852	305,007	294,248	(10,759)
32.0 Land & structures	114	-	-	-
42.0 Insurance Claims and Indemnity	3,065	1,946	1,946	-
91.0 Unvouchered	240	11	11	-
<b>Total, Other Object Classes</b>	<b>2,074,090</b>	<b>2,017,119</b>	<b>2,196,760</b>	<b>179,641</b>
<b>Total, Direct Obligations</b>	<b>8,464,668</b>	<b>8,692,891</b>	<b>9,010,581</b>	<b>317,690</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(12,773)	-	12,773
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(12,773)</b>	<b>-</b>	<b>12,773</b>

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
Direct Obligations	-	-	-	-
Total Requirements	8,464,668	8,680,118	9,010,581	330,463
Full Time Equivalents	50,667	53,249	53,702	453



## F. Permanent Positions by Grade

### Department of Homeland Security U.S. Customs and Border Protection Salaries and Expenses Permanent Positions by Grade

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	90	92	95	3
Total, EX	1	1	1	-
GS-15	672	693	763	70
GS-14	2,535	2,615	2,737	122
GS-13	9,154	9,428	9,483	55
GS-12	25,224	26,022	25,973	(49)
GS-11	6,258	6,457	6,487	30
GS-10	457	470	468	(2)
GS-9	3,237	3,340	3,377	37
GS-8	62	64	69	5
GS-7	2,860	2,945	2,956	11
GS-6	118	121	123	2
GS-5	1,174	1,209	1,224	15
GS-4	111	48	48	-
GS-3	46	48	48	-
GS-2	43	45	45	-
<b>Total Permanent Positions</b>	<b>52,042</b>	<b>53,598</b>	<b>53,897</b>	<b>299</b>
Unfilled Positions EOY	1	2	-	(2)
Total Permanent Employment EOY	4	5	-	(5)
Headquarters	5,410	5,410	5,457	47
U.S. Field	45,073	46,629	46,870	241
Foreign Field	1,559	1,559	1,570	11
<b>Total, Salaries and expenses:</b>	<b>52,042</b>	<b>53,598</b>	<b>53,897</b>	<b>299</b>
<b>Full Time Equivalents</b>	<b>50,667</b>	<b>53,249</b>	<b>53,702</b>	<b>453</b>
Average ES Salary	163,500	163,500	165,462	1,962
Average GS Salary	73,900	73,900	74,787	887
Average Grade	12	12	12	-

## **G. Capital Investment and Construction Initiative Listing**

Not Applicable

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
MA Border Security Inspections and Trade Facilitation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	197,955	253,459	254,725	1,266
11.3 Other than full-time permanent	2,899	3,417	3,433	16
11.5 Other personnel compensation	980	1,375	1,398	23
11.6 Pay Diff (Sun/Night)	5,992	10,532	10,561	29
11.7 Military personnel/Awards	3,994	6,035	6,101	66
12.1 Benefits	58,672	110,332	110,362	30
12.4 Allowances	15,907	24	29	5
12.6 Temp Quarters	1,815	2,881	2,496	(385)
13.0 Unemployment Compensation	1,982	310	1,407	1,097
<b>Total, Personnel and Compensation Benefits</b>	<b>290,196</b>	<b>388,365</b>	<b>390,512</b>	<b>2,147</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	7,916	9,484	5,240	(4,244)
22.0 Transportation of things	635	289	193	(96)
23.1 GSA rent	224	183	179	(4)
23.2 Other rent	1,786	21	20	(1)
23.3 Communications, utilities, and misc. charges	29,998	19,821	16,956	(2,865)
24.0 Printing	2,070	3,755	3,770	15
25.1 Advisory and assistance services	1,397	1,595	47	(1,548)
25.2 Other services	85,031	117,185	67,009	(50,176)
25.3 Purchases from Gov't accts.	26,425	20,586	40,206	19,620
25.4 O&M of facilities	7,957	-	561	561
25.6 Medical care	5,351	1,195	-	(1,195)
25.7 Operation and maintenance of equipment	14,762	82	1,247	1,165
25.8 Subsistence & Support of persons	1	-	-	-
26.0 Supplies and materials	4,386	19,808	16,369	(3,439)
31.0 Equipment	24,637	87,005	58,156	(28,849)
32.0 Land & structures	56	-	-	-
42.0 Insurance Claims and Indemnity	1,502	944	944	-
91.0 Unvouchered	5	5	5	-
<b>Total, Other Object Classes</b>	<b>214,139</b>	<b>281,958</b>	<b>210,902</b>	<b>(71,056)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(2,529)	-	2,529
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(2,529)</b>	-	<b>2,529</b>
<b>Total Requirements</b>	<b>504,335</b>	<b>667,794</b>	<b>601,414</b>	<b>(66,380)</b>
<b>Full Time Equivalents</b>	<b>2,283</b>	<b>2,288</b>	<b>2,331</b>	<b>43</b>

**MA Border Security Inspections and Trade Facilitation Mission Statement**

Headquarters Management and Administration provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	197,955	253,459	254,725	1,266
11.3 Other than full-time permanent	2,899	3,417	3,433	16
11.5 Other personnel compensation	980	1,375	1,398	23
11.6 Pay Diff (Sun/Night)	5,992	10,532	10,561	29
11.7 Military personnel/Awards	3,994	6,035	6,101	66
12.1 Benefits	58,672	110,332	110,362	30
12.4 Allowances	15,907	24	29	5
13.0 Unemployment Compensation	1,982	310	1,407	1,097
<b>Total, Salaries &amp; Benefits</b>	<b>288,381</b>	<b>385,484</b>	<b>388,016</b>	<b>2,532</b>

In FY 2013, a decrease of -\$144,000 is a DHS Management efficiency for overtime. In FY 2013, a decrease of -\$17,301,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$96,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$1,517,000 is an increase for FY 2013 Pay Increase. In FY 2013, an increase of \$11,813,000 is a transfer to realign OTIA funding to S&E In FY 2013, an increase of \$2,141,000 is enhancement to Targeting Systems and Staff. In FY 2013, an increase of \$3,120,000 is adjustment for Workers and Unemployment Compensation Requirements. In FY 2013, an increase of \$386,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$711,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$7,916	\$9,484	\$5,240	-\$4,244

In FY 2013, a decrease of -\$120,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$162,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$184,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$193,000 is an efficiency from the decentralization of CBP Discipline Program. In FY 2013, a decrease of -\$3,612,000 is a DHS Management efficiency for TDY and travel. In FY 2013, a decrease of -\$9,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$36,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$635	\$289	\$193	-\$96

In FY 2013, a decrease of -\$2,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$35,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$60,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$1,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$224	\$183	\$179	-\$4

In FY 2013, a decrease of -\$33,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$925,000 is a DHS Management efficiency. In FY 2013, an increase of \$954,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$1,786	\$21	\$20	-\$1

In FY 2013, a decrease of -\$2,813,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$78,000 is a DHS Management efficiency. In FY 2013, an increase of \$2,890,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$29,998	\$19,821	\$16,956	-\$2,865

In FY 2013, a decrease of -\$161,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$2,858,000 is an object class realignment. In FY 2013, a decrease of -\$20,000 is reduction to Management and Administration Staffing and Services. In FY 2013, an increase of \$174,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$2,070	\$3,755	\$3,770	\$15

In FY 2013, a decrease of -\$17,000 is a DHS Management efficiency. In FY 2013, an increase of \$32,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$1,397	\$1,595	\$47	-\$1,548

In FY 2013, a decrease of -\$1,732,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$10,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$51,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$8,000 is a DHS Management efficiency. In FY 2013, an increase of \$253,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$85,031	\$117,185	\$67,009	-\$50,176

In FY 2013, a decrease of -\$1,469,000 is a reduction to legacy applications. In FY 2013, a decrease of -\$11,606,000 is an object class realignment. In FY 2013, a decrease of -\$12,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$18,375,000 is reduction to CBP IT Infrastructure and Systems Support. In FY 2013, a decrease of -\$3,600,000 is to fund new requirements from the DHS working capital fund. In FY 2013, a decrease of -\$4,262,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$4,605,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$5,032,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$534,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$790,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$1,500,000 is enhancement to Provide Situational Awareness via Video from Air Assets.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$26,425	\$20,586	\$40,206	\$19,620

In FY 2013, a decrease of -\$355,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$46,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$549,000 is an object class realignment. In FY 2013, a

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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decrease of -\$75,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$20,645,000 is to fund new requirements from the DHS working capital fund.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$7,957	0	\$561	\$561

In FY 2013, a decrease of -\$120,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$206,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$6,539,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$962,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, an increase of \$8,388,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$5,351	\$1,195	0	-\$1,195

In FY 2013, a decrease of -\$1,007,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$218,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$27,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$47,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$104,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$14,762	\$82	\$1,247	\$1,165

In FY 2013, a decrease of -\$102,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$364,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$77,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$1,500,000 is increase for Financial and Budgetary Management Systems. In FY 2013, an increase of \$149,000 is an object class realignment. In FY 2013, an increase of \$59,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$4,386	\$19,808	\$16,369	-\$3,439

In FY 2013, a decrease of -\$105,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$162,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$425,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$762,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$847,000 is reduction to Management and Administration Staffing and Services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$24,637	\$87,005	\$58,156	-\$28,849

In FY 2013, a decrease of -\$2,437,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$20,885,000 is reduction to CBP Fleet Acquisition and Management. In FY 2013, a decrease of -\$303,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$5,004,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$518,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$727,000 is reduction to Management and Administration Staffing and Services. In FY 2013, an increase of \$1,025,000 is an object class realignment.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**MA Border Security and Control between Ports of Entry**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	206,034	268,361	267,809	(552)
11.3 Other than full-time permanent	3,018	3,625	3,623	(2)
11.5 Other personnel compensation	1,020	1,468	1,490	22
11.6 Pay Diff (Sun/Night)	6,237	11,160	11,169	9
11.7 Military personnel/Awards	4,158	6,404	6,465	61
12.1 Benefits	61,066	117,765	117,829	64
12.4 Allowances	16,557	27	36	9
12.6 Temp Quarters	1,889	3,054	2,654	(400)
13.0 Unemployment Compensation	2,062	330	1,427	1,097
<b>Total, Personnel and Compensation Benefits</b>	<b>302,041</b>	<b>412,194</b>	<b>412,502</b>	<b>308</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	8,239	10,539	6,471	(4,068)
22.0 Transportation of things	660	437	402	(35)
23.1 GSA rent	234	223	220	(3)
23.2 Other rent	1,859	30	29	(1)
23.3 Communications, utilities, and misc. charges	31,222	21,609	18,573	(3,036)
24.0 Printing	2,155	4,091	4,074	(17)
25.1 Advisory and assistance services	1,455	-	35	35
25.2 Other services	88,501	128,064	81,429	(46,635)
25.3 Purchases from Gov't accts.	27,503	24,507	44,092	19,585
25.4 O&M of facilities	8,281	-	42	42
25.5 R&D of contracts	-	1	-	(1)
25.6 Medical care	5,570	647	355	(292)
25.7 Operation and maintenance of equipment	15,365	425	1,581	1,156
25.8 Subsistence & Support of persons	1	-	402	402
26.0 Supplies and materials	4,565	21,172	18,160	(3,012)
31.0 Equipment	25,643	99,345	76,272	(23,073)
32.0 Land & structures	58	-	-	-
42.0 Insurance Claims and Indemnity	1,563	1,002	1,002	-
91.0 Unvouchered	5	5	5	-
<b>Total, Other Object Classes</b>	<b>222,879</b>	<b>312,097</b>	<b>253,144</b>	<b>(58,953)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(6,982)	-	6,982
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(6,982)</b>	<b>-</b>	<b>6,982</b>
<b>Total Requirements</b>	<b>524,920</b>	<b>717,309</b>	<b>665,646</b>	<b>(51,663)</b>
<b>Full Time Equivalents</b>	<b>2,289</b>	<b>2,318</b>	<b>2,359</b>	<b>41</b>



**MA Border Security and Control between Ports of Entry Mission Statement**

Headquarters Management and Administration provides critical policy and operational direction, mission support, and technical expertise to CBP front-line personnel. This program is essential in carrying out CBP's dual mission of protecting our homeland while facilitating legitimate trade and travel.

**Summary Justification and Explanation of Changes**

	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>FY 2012 to FY 2013 Change</b>
11.1 Total FTE & personnel compensation	206,034	268,361	267,809	(552)
11.3 Other than full-time permanent	3,018	3,625	3,623	(2)
11.5 Other personnel compensation	1,020	1,468	1,490	22
11.6 Pay Diff (Sun/Night)	6,237	11,160	11,169	9
11.7 Military personnel/Awards	4,158	6,404	6,465	61
12.1 Benefits	61,066	117,765	117,829	64
12.4 Allowances	16,557	27	36	9
13.0 Unemployment Compensation	2,062	330	1,427	1,097
<b>Total, Salaries &amp; Benefits</b>	<b>300,152</b>	<b>409,140</b>	<b>409,848</b>	<b>708</b>

In FY 2013, a decrease of -\$110,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$137,000 is a DHS Management efficiency for overtime. In FY 2013, a decrease of -\$17,387,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$73,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$888,000 is an object class realignment. In FY 2013, an increase of \$1,599,000 is an increase for FY 2013 Pay Increase. In FY 2013, an increase of \$11,814,000 is a transfer to realign OTIA funding to S&E In FY 2013, an increase of \$2,141,000 is enhancement to Targeting Systems and Staff. In FY 2013, an increase of \$229,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$3,120,000 is adjustment for Workers and Unemployment Compensation Requirements.

	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>FY 2012 to FY 2013 Change</b>
<b>21.0 Travel</b>	<b>\$8,239</b>	<b>\$10,539</b>	<b>\$6,471</b>	<b>-\$4,068</b>

In FY 2013, a decrease of -\$100,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$184,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$193,000 is an efficiency from the decentralization of CBP Discipline Program. In FY 2013, a decrease of -\$3,608,000 is a DHS Management efficiency for TDY and travel. In FY 2013, a decrease of -\$9,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$26,000 is an object class realignment.

	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>FY 2012 to FY 2013 Change</b>
<b>22.0 Transportation of things</b>	<b>\$660</b>	<b>\$437</b>	<b>\$402</b>	<b>-\$35</b>

In FY 2013, a decrease of -\$1,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$35,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$1,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$234	\$223	\$220	-\$3

In FY 2013, a decrease of -\$32,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$924,000 is a DHS Management efficiency. In FY 2013, an increase of \$953,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$1,859	\$30	\$29	-\$1

In FY 2013, a decrease of -\$2,813,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$42,000 is a DHS Management efficiency. In FY 2013, an increase of \$2,854,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$31,222	\$21,609	\$18,573	-\$3,036

In FY 2013, a decrease of -\$159,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$2,857,000 is an object class realignment. In FY 2013, a decrease of -\$20,000 is reduction to Management and Administration Staffing and Services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$2,155	\$4,091	\$4,074	-\$17

In FY 2013, a decrease of -\$17,000 is a DHS Management efficiency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$1,455	0	\$35	\$35

In FY 2013, a decrease of -\$10,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$51,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$7,000 is a DHS Management efficiency. In FY 2013, an increase of \$103,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$88,501	\$128,064	\$81,429	-\$46,635

In FY 2013, a decrease of -\$1,469,000 is a reduction to legacy applications. In FY 2013, a decrease of -\$12,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$18,376,000 is reduction to CBP IT Infrastructure and Systems Support. In FY 2013, a decrease of -\$3,600,000 is to fund new requirements from the DHS working capital fund. In FY 2013, a decrease of -\$4,263,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$4,993,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$533,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$790,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$8,800,000 is an object class realignment. In FY 2013, an increase of \$1,500,000 is enhancement to Provide Situational Awareness via Video from Air Assets.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$27,503	\$24,507	\$44,092	\$19,585

In FY 2013, a decrease of -\$355,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$46,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$584,000 is an object class realignment. In FY 2013, a decrease of -\$75,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$20,645,000 is to fund new requirements from the DHS working capital fund.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$8,281	0	\$42	\$42

In FY 2013, a decrease of -\$119,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$206,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$6,540,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$962,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, an increase of \$7,869,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$5,570	\$647	\$355	-\$292

In FY 2013, a decrease of -\$218,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$27,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$47,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$15,365	\$425	\$1,581	\$1,156

In FY 2013, a decrease of -\$364,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$77,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$81,000 is a DHS Management efficiency. In FY 2013, an increase of \$1,500,000 is increase for Financial and Budgetary Management Systems. In FY 2013, an increase of \$178,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.8 Subsistence & Support of persons	\$1	0	\$402	\$402

In FY 2013, a decrease of -\$332,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$70,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$804,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$4,565</b>	<b>\$21,172</b>	<b>\$18,160</b>	<b>-\$3,012</b>

In FY 2013, a decrease of -\$103,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$162,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$762,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$847,000 is reduction to Management and Administration Staffing and Services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$25,643</b>	<b>\$99,345</b>	<b>\$76,272</b>	<b>-\$23,073</b>

In FY 2013, a decrease of -\$18,786,000 is reduction to CBP Fleet Acquisition and Management. In FY 2013, a decrease of -\$2,437,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$301,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$518,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$727,000 is reduction to Management and Administration Staffing and Services. In FY 2013, an increase of \$241,000 is an object class realignment.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses**

**Rent**

Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
23.1 GSA rent	410,422	434,917	534,653	99,736
23.2 Other rent	13,173	13,832	32,139	18,307
23.3 Communications, utilities, and misc. charges	218	-	-	-
25.4 O&M of facilities	32,000	35,000	48,079	13,079
<b>Total, Other Object Classes</b>	<b>455,813</b>	<b>483,749</b>	<b>614,871</b>	<b>131,122</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>455,813</b>	<b>483,749</b>	<b>614,871</b>	<b>131,122</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Rent Mission Statement**

CBP leases a substantial portion of its real property assets through GSA and also by direct lease delegation to non-federal sources. This PPA includes funds to support the rental of facilities, space, buildings, structures, and land along with rent-related building charges and services, including utilities and services provided by the Federal Protective Service (FPS). The Rent PPA supports the Office of Border Patrol, Office of Field Operations, Office of Air and Marine, and the Mission Support activities.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$410,422	\$434,917	\$534,653	\$99,736

In FY 2013, an increase of \$1,817,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$78,000 is a transfer to further consolidate the CBP rent program. In FY 2013, an increase of \$97,841,000 is needed to cover FY 2013 rent requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$13,173	\$13,832	\$32,139	\$18,307

In FY 2013, an increase of \$108,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$18,199,000 is a transfer to further consolidate the CBP rent program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$32,000	\$35,000	\$48,079	\$13,079

In FY 2013, an increase of \$13,079,000 is a transfer to further consolidate the CBP rent program.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Inspections Trade and Travel Facilitation**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,360,013	1,376,520	1,371,763	(4,757)
11.3 Other than full-time permanent	6,591	18,608	18,612	4
11.5 Other personnel compensation	139,525	136,549	138,299	1,750
11.6 Pay Diff (Sun/Night)	8,503	11,005	22,240	11,235
11.7 Military personnel/Awards	11,967	18,062	18,066	4
11.8 Special Service Pay	109	-	-	-
12.1 Benefits	650,735	700,154	710,112	9,958
12.4 Allowances	29,832	-	761	761
12.6 Temp Quarters	11,475	7,035	3,517	(3,518)
<b>Total, Personnel and Compensation Benefits</b>	<b>2,218,750</b>	<b>2,267,933</b>	<b>2,283,370</b>	<b>15,437</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	31,540	19,482	13,090	(6,392)
22.0 Transportation of things	5,198	2,203	943	(1,260)
23.1 GSA rent	1,426	230	473	243
23.2 Other rent	1,090	2,017	474	(1,543)
23.3 Communications, utilities, and misc. charges	31,646	31,680	30,565	(1,115)
24.0 Printing	455	411	411	-
25.1 Advisory and assistance services	582	1,602	1,603	1
25.2 Other services	124,915	96,358	86,594	(9,764)
25.3 Purchases from Gov't accts.	18,411	601	134	(467)
25.4 O&M of facilities	19,167	671	2,917	2,246
25.6 Medical care	1,281	931	637	(294)
25.7 Operation and maintenance of equipment	12,873	260	69	(191)
25.8 Subsistence & Support of persons	416	-	-	-
26.0 Supplies and materials	31,692	18,150	17,405	(745)
31.0 Equipment	42,478	41,706	41,989	283
<b>Total, Other Object Classes</b>	<b>323,170</b>	<b>216,302</b>	<b>197,304</b>	<b>(18,998)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,541,920</b>	<b>2,484,235</b>	<b>2,480,674</b>	<b>(3,561)</b>
<b>Full Time Equivalents</b>	<b>20,152</b>	<b>21,893</b>	<b>21,966</b>	<b>73</b>

**Inspections Trade and Travel Facilitation Mission Statement**

The purpose of Inspections, Trade and Travel Facilitation at Ports of Entry (POEs) is to facilitate the flow of legitimate travel and trade across U.S. borders, while ensuring that threats to the United States are not allowed entry, using technology, intelligence and risk information, targeting, and international cooperation in the screening of entering international cargo and travelers and departing export cargo. This program reduces the potential of terrorists, instruments of terror, and contraband from entering our country, while facilitating the legal flow of people and trade by deploying CBP officers, agricultural specialists, and import specialists to the ports of entry. The goal of this program is to improve

compliance with trade regulations and other mandatory import/export guidance while increasing the security of the United States.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,360,013	1,376,520	1,371,763	(4,757)
11.3 Other than full-time permanent	6,591	18,608	18,612	4
11.5 Other personnel compensation	139,525	136,549	138,299	1,750
11.6 Pay Diff (Sun/Night)	8,503	11,005	22,240	11,235
11.7 Military personnel/Awards	11,967	18,062	18,066	4
11.8 Special Service Pay	109	-	-	-
12.1 Benefits	650,735	700,154	710,112	9,958
12.4 Allowances	29,832	-	761	761
<b>Total, Salaries &amp; Benefits</b>	<b>2,207,275</b>	<b>2,260,898</b>	<b>2,279,853</b>	<b>18,955</b>

In FY 2013, a decrease of -\$1,190,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$1,386,000 is from closing 2 National Targeting & Analysis Groups. In FY 2013, a decrease of -\$1,530,000 is rescoping IAP sites in Incheon and Warsaw. In FY 2013, a decrease of -\$2,360,000 is reduction to Office of Trade. In FY 2013, a decrease of -\$21,106,000 is a reduction to Field Operations Overtime. In FY 2013, a decrease of -\$4,746,000 is a reduction to Field Support Staff. In FY 2013, a decrease of -\$717,000 is reduction to Management and Administration Staffing and Services. In FY 2013, an increase of \$39,215,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$625,000 is an enhancement for Centers of Excellence and Expertise. In FY 2013, an increase of \$8,632,000 is an increase for FY 2013 Pay Increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$31,540	\$19,482	\$13,090	-\$6,392

In FY 2013, a decrease of -\$178,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$560,000 is rescoping IAP sites in Incheon and Warsaw. In FY 2013, a decrease of -\$6,442,000 is a DHS Management efficiency for TDY and travel. In FY 2013, a decrease of -\$87,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$875,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$5,198	\$2,203	\$943	-\$1,260

In FY 2013, a decrease of -\$143,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$22,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$485,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$610,000 is rescoping IAP sites in Incheon and Warsaw.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$1,426	\$230	\$473	\$243

In FY 2013, a decrease of -\$13,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$53,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$840,000 is Reduction associated with suspending WHTI/LBI Procurement. In FY 2013, an increase of \$1,149,000 is an object class realignment.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$1,090	\$2,017	\$474	-\$1,543

In FY 2013, a decrease of -\$18,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$710,000 is a transfer to further consolidate the CBP rent program. In FY 2013, a decrease of -\$815,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$31,646	\$31,680	\$30,565	-\$1,115

In FY 2013, a decrease of -\$1,149,000 is an object class realignment. In FY 2013, a decrease of -\$161,000 is a DHS Management efficiency. In FY 2013, an increase of \$195,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$582	\$1,602	\$1,603	\$1

In FY 2013, a decrease of -\$23,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$3,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$31,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$124,915	\$96,358	\$86,594	-\$9,764

In FY 2013, a decrease of -\$155,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$160,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$2,615,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$3,151,000 is an object class realignment. In FY 2013, a decrease of -\$366,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$4,400,000 is Reduction associated with suspending WHTI/LBI Procurement. In FY 2013, a decrease of -\$5,970,000 is reduction to Management and Administration Staffing and Services. In FY 2013, a decrease of -\$559,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$763,000 is rescoping IAP sites in Incheon and Warsaw. In FY 2013, an increase of \$2,375,000 is an enhancement for Centers of Excellence and Expertise. In FY 2013, an increase of \$6,000,000 is an enhancement for intellectual property rights enforcement.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$18,411	\$601	\$134	-\$467

In FY 2013, a decrease of -\$199,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$201,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$24,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$43,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$19,167	\$671	\$2,917	\$2,246

In FY 2013, a decrease of -\$17,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$2,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$74,000 is a DHS Management efficiency. In FY 2013, an increase of \$2,339,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$1,281	\$931	\$637	-\$294

In FY 2013, a decrease of -\$19,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$271,000 is an object class realignment. In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$12,873	\$260	\$69	-\$191

In FY 2013, a decrease of -\$18,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$210,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$31,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$7,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$75,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$31,692	\$18,150	\$17,405	-\$745

In FY 2013, a decrease of -\$135,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$624,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$77,000 is a DHS Management efficiency. In FY 2013, an increase of \$91,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$42,478	\$41,706	\$41,989	\$283

In FY 2013, a decrease of -\$2,546,000 is an annualization of prior year initiatives. In FY 2013, a decrease of -\$306,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$40,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$65,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$760,000 is Reduction associated with suspending WHTI/LBI Procurement. In FY 2013, an increase of \$4,000,000 is an enhancement for intellectual property rights enforcement.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Harbor Maintenance Fee Collection (Trust Fund)**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	2,390	2,399	9
11.3 Other than full-time permanent	-	32	32	-
12.1 Benefits	-	603	605	2
<b>Total, Personnel and Compensation Benefits</b>	<b>-</b>	<b>3,025</b>	<b>3,036</b>	<b>11</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	30	30	-
23.3 Communications, utilities, and misc. charges	-	5	5	-
25.2 Other services	-	165	165	-
25.3 Purchases from Gov't accts.	3,226	-	-	-
26.0 Supplies and materials	-	30	30	-
31.0 Equipment	-	19	19	-
<b>Total, Other Object Classes</b>	<b>3,226</b>	<b>249</b>	<b>249</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>3,226</b>	<b>3,274</b>	<b>3,285</b>	<b>11</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Harbor Maintenance Fee Collection (Trust Fund) Mission Statement**

The Harbor Maintenance Fee is an Army Corps of Engineers (COE) fee, which is collected for the operation and maintenance, as well as improvements, of U.S. channels and harbors. CBP is reimbursed for a portion of the costs associated with the collection of the fee for the COE.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	2,390	2,399	9
11.3 Other than full-time permanent	-	32	32	-
12.1 Benefits	-	603	605	2
<b>Total, Salaries &amp; Benefits</b>	<b>-</b>	<b>3,025</b>	<b>3,036</b>	<b>11</b>

In FY 2013, an increase of \$11,000 is an increase for FY 2013 Pay Increase.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**International Cargo Screening**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	34,247	29,135	22,000	(7,135)
11.3 Other than full-time permanent	117	32	32	-
11.5 Other personnel compensation	2,089	544	544	-
11.6 Pay Diff (Sun/Night)	2,441	62	62	-
11.7 Military personnel/Awards	97	173	173	-
12.1 Benefits	11,646	11,660	8,648	(3,012)
12.4 Allowances	3,247	4,930	4,930	-
12.6 Temp Quarters	1,027	2,199	2,199	-
<b>Total, Personnel and Compensation Benefits</b>	<b>54,911</b>	<b>48,735</b>	<b>38,588</b>	<b>(10,147)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	3,479	2,832	2,159	(673)
22.0 Transportation of things	836	143	71	(72)
23.2 Other rent	2,990	-	-	-
23.3 Communications, utilities, and misc. charges	9,271	2,112	12,097	9,985
24.0 Printing	5	-	-	-
25.1 Advisory and assistance services	1	-	-	-
25.2 Other services	7,861	23,033	18,080	(4,953)
25.3 Purchases from Gov't accts.	9,387	-	-	-
25.6 Medical care	7	-	-	-
25.7 Operation and maintenance of equipment	3,031	-	-	-
26.0 Supplies and materials	699	229	178	(51)
31.0 Equipment	14,464	472	360	(112)
91.0 Unvouchered	-	1	1	-
<b>Total, Other Object Classes</b>	<b>52,031</b>	<b>28,822</b>	<b>32,946</b>	<b>4,124</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(3,000)	-	3,000
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(3,000)</b>	<b>-</b>	<b>3,000</b>
<b>Total Requirements</b>	<b>106,942</b>	<b>74,557</b>	<b>71,534</b>	<b>(3,023)</b>
<b>Full Time Equivalents</b>	<b>426</b>	<b>368</b>	<b>368</b>	<b>-</b>

**International Cargo Screening Mission Statement**

International Cargo Screening (ICS), which includes CBP's Container Security Initiative (CSI) and Secure Freight Initiative (SFI), enhance the security of maritime containerized shipping from exploitation by terrorists. ICS's goal is three-fold: (1) to expand operations to new critical international seaports; (2) to secure and improve operations at existing ports; and (3) to encourage global efforts to enhance maritime container security through capacity building. Working with foreign administrations, CSI is designed to achieve a more secure maritime trade environment while ensuring the need for efficiency in global commerce. The three core elements of the program are: (1) establishing security criteria and identify high-risk containers; (2) scanning those containers identified as high-risk prior to arrival at U.S. ports; and (3) using technology to quickly scan high-risk containers.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	34,247	29,135	22,000	(7,135)
11.3 Other than full-time permanent	117	32	32	-
11.5 Other personnel compensation	2,089	544	544	-
11.6 Pay Diff (Sun/Night)	2,441	62	62	-
11.7 Military personnel/Awards	97	173	173	-
12.1 Benefits	11,646	11,660	8,648	(3,012)
12.4 Allowances	3,247	4,930	4,930	-
<b>Total, Salaries &amp; Benefits</b>	<b>53,884</b>	<b>46,536</b>	<b>36,389</b>	<b>(10,147)</b>

In FY 2013, a decrease of -\$9,569,000 Realignment for funding for Office of International Affairs In FY 2013, an increase of \$1,379,000 is to restore CSI to FY11 levels. In FY 2013, an increase of \$138,000 is an increase for FY 2013 Pay Increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$3,479	\$2,832	\$2,159	-\$673

In FY 2013, a decrease of -\$359,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$836	\$143	\$71	-\$72

In FY 2013, a decrease of -\$72,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$9,271	\$2,112	\$12,097	\$9,985

In FY 2013, a decrease of -\$1,419,000 is an object class realignment. In FY 2013, a decrease of -\$243,000 Realignment for funding for Office of International Affairs In FY 2013, an increase of \$11,653,000 is to restore CSI to FY11 levels.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$7,861	\$23,033	\$18,080	-\$4,953

In FY 2013, a decrease of -\$4,471,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$699	\$229	\$178	-\$51

In FY 2013, a decrease of -\$51,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$14,464	\$472	\$360	-\$112

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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In FY 2013, a decrease of -\$9,000 Realignment for funding for Office of International Affairs

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Other international programs**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	7,065	6,877	12,726	5,849
11.3 Other than full-time permanent	86	106	106	-
11.5 Other personnel compensation	34	19	19	-
11.6 Pay Diff (Sun/Night)	29	25	17	(8)
11.7 Military personnel/Awards	86	37	37	-
12.1 Benefits	1,958	1,448	5,168	3,720
12.4 Allowances	4	78	78	-
12.6 Temp Quarters	-	70	70	-
<b>Total, Personnel and Compensation Benefits</b>	<b>9,262</b>	<b>8,660</b>	<b>18,221</b>	<b>9,561</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	563	786	1,405	619
22.0 Transportation of things	134	73	53	(20)
23.1 GSA rent	-	-	50	50
23.3 Communications, utilities, and misc. charges	475	161	523	362
24.0 Printing	2	-	-	-
25.1 Advisory and assistance services	100	-	-	-
25.2 Other services	1,031	635	5,923	5,288
25.3 Purchases from Gov't accts.	254	-	-	-
25.7 Operation and maintenance of equipment	4	-	-	-
26.0 Supplies and materials	50	71	220	149
31.0 Equipment	216	298	689	391
<b>Total, Other Object Classes</b>	<b>2,829</b>	<b>2,024</b>	<b>8,863</b>	<b>6,839</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>12,091</b>	<b>10,684</b>	<b>27,084</b>	<b>16,400</b>
<b>Full Time Equivalents</b>	<b>59</b>	<b>72</b>	<b>72</b>	<b>-</b>

**Other international programs Mission Statement**

The goal of Other International Programs is to extend the U.S. zone of security beyond U.S. Borders by promoting international border security and global standards. In this arena, CBP implements programs and initiatives that support the U.S. Government's objectives in anti-terrorism, border security, non-proliferation, export controls, immigration and capacity building. This program's efforts foster and facilitate legitimate international trade, increase compliance, build alliances to combat trans-national crime, reduce corruption, strengthen border controls, promote the rule of law and enhance economic stability throughout the world. This is accomplished through the development and maintenance of collaborative relations with foreign governments, the development of international strategies, and representation of CBP positions in various international forums, international technical assistance and training, and the negotiation of international agreements.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	7,065	6,877	12,726	5,849
11.3 Other than full-time permanent	86	106	106	-
11.5 Other personnel compensation	34	19	19	-
11.6 Pay Diff (Sun/Night)	29	25	17	(8)
11.7 Military personnel/Awards	86	37	37	-
12.1 Benefits	1,958	1,448	5,168	3,720
12.4 Allowances	4	78	78	-
<b>Total, Salaries &amp; Benefits</b>	<b>9,262</b>	<b>8,590</b>	<b>18,151</b>	<b>9,561</b>

In FY 2013, a decrease of -\$38,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$67,000 is for an enhancement to other international programs. In FY 2013, a decrease of -\$8,000 is a DHS Management efficiency for overtime. In FY 2013, an increase of \$38,000 is an object class realignment. In FY 2013, an increase of \$67,000 is an increase for FY 2013 Pay Increase. In FY 2013, an increase of \$9,569,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$563	\$786	\$1,405	\$619

In FY 2013, a decrease of -\$1,000 is an object class realignment. In FY 2013, a decrease of -\$155,000 is a DHS Management efficiency for TDY and travel. In FY 2013, a decrease of -\$2,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency. In FY 2013, an increase of \$781,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$134	\$73	\$53	-\$20

In FY 2013, a decrease of -\$1,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$20,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$1,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	0	\$50	\$50

In FY 2013, an increase of \$50,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$475	\$161	\$523	\$362

In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$50,000 is an object class realignment. In FY 2013, an increase of \$416,000 Realignment for funding for Office of International Affairs



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$1,031	\$635	\$5,923	\$5,288

In FY 2013, a decrease of -\$10,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$14,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$160,000 is an object class realignment. In FY 2013, a decrease of -\$224,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$24,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$2,285,000 is for an enhancement to other international programs. In FY 2013, an increase of \$3,435,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$50	\$71	\$220	\$149

In FY 2013, a decrease of -\$1,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$6,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, an increase of \$156,000 Realignment for funding for Office of International Affairs

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$216	\$298	\$689	\$391

In FY 2013, a decrease of -\$2,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$20,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$417,000 Realignment for funding for Office of International Affairs

**Department of Homeland Security  
U.S. Customs and Border Protection  
Salaries and Expenses  
C-TPAT**

Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	21,006	17,673	15,239	(2,434)
11.3 Other than full-time permanent	-	53	53	-
11.5 Other personnel compensation	7	-	-	-
11.6 Pay Diff (Sun/Night)	2,975	3,063	3,074	11
12.1 Benefits	7,100	6,997	6,323	(674)
12.4 Allowances	104	-	-	-
12.6 Temp Quarters	112	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>31,304</b>	<b>27,786</b>	<b>24,689</b>	<b>(3,097)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	7,760	13,402	11,602	(1,800)
22.0 Transportation of things	32	158	158	-
23.2 Other rent	1	-	-	-
23.3 Communications, utilities, and misc. charges	299	720	720	-
25.2 Other services	1,628	1,789	1,789	-
25.7 Operation and maintenance of equipment	2,974	-	-	-
26.0 Supplies and materials	339	521	521	-
31.0 Equipment	183	603	603	-
<b>Total, Other Object Classes</b>	<b>13,216</b>	<b>17,193</b>	<b>15,393</b>	<b>(1,800)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>44,520</b>	<b>44,979</b>	<b>40,082</b>	<b>(4,897)</b>
<b>Full Time Equivalents</b>	<b>270</b>	<b>244</b>	<b>244</b>	-

**C-TPAT Mission Statement**

The Customs-Trade Partnership Against Terrorism (C-TPAT) is a partnership between the Federal government and private industry. It is an effort that CBP has undertaken with the business community to secure the supply chain. The goal of C-TPAT is to develop and maintain a secure supply chain, from factory floor to port of entry, which enables CBP to facilitate trade and ensure safe and secure borders. C-TPAT is designed to use and enhance the security processes and procedures currently employed by the trade community and ensure that international shipments are not compromised or diverted by terrorists or their accomplices.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	21,006	17,673	15,239	(2,434)
11.3 Other than full-time permanent	-	53	53	-
11.5 Other personnel compensation	7	-	-	-
11.6 Pay Diff (Sun/Night)	2,975	3,063	3,074	11

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	21,006	17,673	15,239	(2,434)
12.1 Benefits	7,100	6,997	6,323	(674)
12.4 Allowances	104	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>31,192</b>	<b>27,786</b>	<b>24,689</b>	<b>(3,097)</b>

In FY 2013, a decrease of -\$3,200,000 is a reduction associated with extending C-TPAT Validation Cycle to 4 Years. In FY 2013, an increase of \$103,000 is an increase for FY 2013 Pay Increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$7,760</b>	<b>\$13,402</b>	<b>\$11,602</b>	<b>-\$1,800</b>

In FY 2013, a decrease of -\$1,800,000 is a reduction associated with extending C-TPAT Validation Cycle to 4 Years.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Trusted Traveler Programs (TTP)**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	642	170	170	-
22.0 Transportation of things	1	-	-	-
23.3 Communications, utilities, and misc. charges	924	-	-	-
24.0 Printing	750	-	-	-
25.2 Other services	5,890	4,191	4,191	-
25.3 Purchases from Gov't accts.	40	-	-	-
25.7 Operation and maintenance of equipment	1,231	-	-	-
26.0 Supplies and materials	40	36	36	-
31.0 Equipment	1,232	1,914	1,914	-
<b>Total, Other Object Classes</b>	<b>10,750</b>	<b>6,311</b>	<b>6,311</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>10,750</b>	<b>6,311</b>	<b>6,311</b>	-
<b>Full Time Equivalents</b>	-	-	-	-

**Trusted Traveler Programs (TTP) Mission Statement**

CBP's trusted traveler programs enhance the agency's ability to expedite the process and facilitate known, low risk "trusted travelers" arriving into the United States by allowing CBP officers additional time to focus on higher risk, unknown travelers; develop and implement national policies related to trusted traveler programs; provide guidance to the field locations on the operation of trusted traveler programs; strategize the growth of current programs and the development and implementation of new programs; and respond to congressional and industry inquiries of trusted traveler program related matters.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Inspection and Detection Technology**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,869	2,219	2,116	(103)
11.5 Other personnel compensation	-	7	7	-
11.6 Pay Diff (Sun/Night)	-	2	2	-
12.1 Benefits	-	650	653	3
<b>Total, Personnel and Compensation Benefits</b>	<b>4,869</b>	<b>2,878</b>	<b>2,778</b>	<b>(100)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,282	218	218	-
22.0 Transportation of things	3	-	-	-
23.1 GSA rent	82	-	-	-
23.3 Communications, utilities, and misc. charges	1,672	1,576	1,576	-
24.0 Printing	5	-	-	-
25.2 Other services	66,108	129,400	98,538	(30,862)
25.3 Purchases from Gov't accts.	6	-	-	-
25.4 O&M of facilities	8,192	-	-	-
25.7 Operation and maintenance of equipment	30,619	-	-	-
26.0 Supplies and materials	1,867	70	70	-
31.0 Equipment	25,144	14,395	14,395	-
<b>Total, Other Object Classes</b>	<b>134,980</b>	<b>145,659</b>	<b>114,797</b>	<b>(30,862)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>139,849</b>	<b>148,537</b>	<b>117,575</b>	<b>(30,962)</b>
<b>Full Time Equivalents</b>	<b>49</b>	<b>50</b>	<b>50</b>	-

**Inspection and Detection Technology Mission Statement**

CBP relies on Non-Intrusive Inspection (NII) technology to secure the borders has become more and more critical. In conjunction with CBP's many other initiatives (24-Hour and Trade Act rules, Automated Targeting System (ATS), Container Security Initiative (CSI), Customs-Trade Partnership Against Terrorism (C-TPAT) etc.), NII is part of a multi-layered approach which allows CBP to work smarter and faster in recognizing potential terrorist threats. These complementary layers enhance security and protect our nation. CBP has long recognized that an adversary can defeat any single system or device. For this reason, CBP cannot rely on any single technology or inspection process. Instead, CBP uses various technologies in different combinations to substantially increase the likelihood that a nuclear or radiological weapon, weapons grade material, illegal aliens or other contraband being smuggled across the United States borders will be detected. NII technologies are viewed as force multipliers that enable CBP officers to screen or examine a larger portion of the stream of commercial traffic while maintaining the flow of legitimate trade, cargo and travelers. Since 9/11, NII technology has been the cornerstone of the CBP multi-layered enforcement strategy. Technologies currently deployed to our nation's land, sea and airports of entry include large-scale X-ray and gamma-ray imaging systems, as well as a variety of portable and handheld technologies, to include radiation detection technology.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	4,869	2,219	2,116	(103)
11.5 Other personnel compensation	-	7	7	-
11.6 Pay Diff (Sun/Night)	-	2	2	-
12.1 Benefits	-	650	653	3
<b>Total, Salaries &amp; Benefits</b>	<b>4,869</b>	<b>2,878</b>	<b>2,778</b>	<b>(100)</b>

In FY 2013, a decrease of -\$10,000 is reduction to NII Investments and Operations and Maintenance. In FY 2013, a decrease of -\$100,000 is reduction to Management and Administration Staffing and Services. In FY 2013, an increase of \$10,000 is an increase for FY 2013 Pay Increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$66,108	\$129,400	\$98,538	-\$30,862

In FY 2013, a decrease of -\$30,862,000 is reduction to NII Investments and Operations and Maintenance.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Systems for Targeting**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	3,226	791	794	3
11.3 Other than full-time permanent	140	139	140	1
11.6 Pay Diff (Sun/Night)	49	-	-	-
12.1 Benefits	348	454	456	2
<b>Total, Personnel and Compensation Benefits</b>	<b>3,763</b>	<b>1,384</b>	<b>1,390</b>	<b>6</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	741	100	11,158	11,058
22.0 Transportation of things	-	-	674	674
23.1 GSA rent	4	-	2,498	2,498
23.3 Communications, utilities, and misc. charges	231	17	772	755
25.2 Other services	4,499	35,228	86,724	51,496
25.7 Operation and maintenance of equipment	19,987	-	-	-
26.0 Supplies and materials	48	29	2,099	2,070
31.0 Equipment	3,103	4,642	8,511	3,869
<b>Total, Other Object Classes</b>	<b>28,613</b>	<b>40,016</b>	<b>112,436</b>	<b>72,420</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>32,376</b>	<b>41,400</b>	<b>113,826</b>	<b>72,426</b>
<b>Full Time Equivalents</b>	<b>36</b>	<b>32</b>	<b>32</b>	<b>-</b>

**Systems for Targeting Mission Statement**

At the core of CBP's ability to achieve its critical border security objectives and maintain the flow of lawful commerce is CBP's ability to identify high-risk travelers and goods for inspection while allowing the vast majority of law abiding travelers and commerce to continue to their destination without unnecessary delay. Legislation and regulatory action, such as the Trade Act of 2002 and the Safe Port Act, respectively, have made it mandatory to provide advance information about passengers and goods arriving in the U.S. CBP uses computer technology and rule-based applications to analyze the data provided on passengers and shipments arriving in the U.S. CBP applies its targeting methods against the data to determine which passengers or shipments need to be segregated for a closer look and possibly inspection. The main platform CBP uses to analyze arriving passenger and shipment data is the Automated Targeting System (ATS). ATS is a web-based enforcement and decision support tool that is the cornerstone for all CBPs targeting efforts. ATS incorporates intelligence information and technologies to target suspect inbound and outbound shipments for examinations and passengers for inspection. In this way, ATS allows CBP officers to focus their efforts on cargo shipments and passengers that most warrant further attention. ATS standardizes names, addresses, ship names, and similar data so these data elements can be more easily associated with other business data to form a more complete picture of a passenger, import, or export in context with previous behavior of the parties involved. Every passenger and shipment processed through ATS is subjected to a real-time risk evaluation. Risk assessment strategies are multi-tiered in their approach and are founded on complex statistical studies, data analysis, and rules based on knowledge engineering.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	3,226	791	794	3
11.3 Other than full-time permanent	140	139	140	1
11.6 Pay Diff (Sun/Night)	49	-	-	-
12.1 Benefits	348	454	456	2
<b>Total, Salaries &amp; Benefits</b>	<b>3,763</b>	<b>1,384</b>	<b>1,390</b>	<b>6</b>

In FY 2013, an increase of \$6,000 is an increase for FY 2013 Pay Increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$741	\$100	\$11,158	\$11,058

In FY 2013, an increase of \$5,240,000 is increase for Automated Targeting Systems Operations and Maintenance. In FY 2013, an increase of \$5,818,000 is enhancement to Targeting Systems and Staff.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	0	0	\$674	\$674

In FY 2013, an increase of \$319,000 is increase for Automated Targeting Systems Operations and Maintenance. In FY 2013, an increase of \$355,000 is enhancement to Targeting Systems and Staff.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$4	0	\$2,498	\$2,498

In FY 2013, an increase of \$1,183,000 is increase for Automated Targeting Systems Operations and Maintenance. In FY 2013, an increase of \$1,315,000 is enhancement to Targeting Systems and Staff.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$231	\$17	\$772	\$755

In FY 2013, an increase of \$358,000 is increase for Automated Targeting Systems Operations and Maintenance. In FY 2013, an increase of \$397,000 is enhancement to Targeting Systems and Staff.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$4,499	\$35,228	\$86,724	\$51,496

In FY 2013, an increase of \$21,085,000 is increase for Automated Targeting Systems Operations and Maintenance. In FY 2013, an increase of \$23,411,000 is enhancement to Targeting Systems and Staff. In FY 2013, an increase of \$7,000,000 is a realignment of funding for Targeting Systems from ACE to Automated Targeting Systems.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$48	\$29	\$2,099	\$2,070

In FY 2013, an increase of \$1,089,000 is enhancement to Targeting Systems and Staff. In FY 2013, an increase of \$981,000 is increase for Automated Targeting Systems Operations and Maintenance.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$3,103	\$4,642	\$8,511	\$3,869

In FY 2013, an increase of \$1,834,000 is increase for Automated Targeting Systems Operations and Maintenance. In FY 2013, an increase of \$2,035,000 is enhancement to Targeting Systems and Staff.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**National Targeting Center**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	22,302	22,957	31,240	8,283
11.3 Other than full-time permanent	125	34	34	-
11.5 Other personnel compensation	2,243	4,361	4,492	131
11.6 Pay Diff (Sun/Night)	1,967	488	488	-
12.1 Benefits	10,342	9,509	14,277	4,768
12.4 Allowances	68	-	-	-
12.6 Temp Quarters	2,209	2,900	2,900	-
<b>Total, Personnel and Compensation Benefits</b>	<b>39,256</b>	<b>40,249</b>	<b>53,431</b>	<b>13,182</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,045	1,709	1,917	208
22.0 Transportation of things	660	492	480	(12)
23.3 Communications, utilities, and misc. charges	414	314	583	269
24.0 Printing	9	-	-	-
25.2 Other services	1,249	5,754	5,798	44
25.4 O&M of facilities	133	-	-	-
25.6 Medical care	21	-	-	-
25.7 Operation and maintenance of equipment	15	6	9	3
26.0 Supplies and materials	123	884	899	15
31.0 Equipment	1,186	2,542	2,010	(532)
<b>Total, Other Object Classes</b>	<b>7,855</b>	<b>11,701</b>	<b>11,696</b>	<b>(5)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>47,111</b>	<b>51,950</b>	<b>65,127</b>	<b>13,177</b>
<b>Full Time Equivalents</b>	<b>337</b>	<b>359</b>	<b>391</b>	<b>32</b>

**National Targeting Center Mission Statement**

The priority mission of the U.S. Customs and Border Protection's National Targeting Centers is to provide around-the-clock tactical targeting and analytical research support for CBP anti-terrorism efforts. The NTC facilities are primarily staffed by CBP officers, border patrol agents and field analysis specialists who are experts in passenger and cargo targeting for air, sea, and land operations in the inbound and outbound environments. The NTC staff develops tactical targets from raw intelligence in support of the CBP mission to detect and prevent terrorists and terrorist weapons from entering the United States. NTC supports all CBP field elements, including CSI personnel stationed in countries throughout the world, with additional research assets for passenger and cargo examinations.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	22,302	22,957	31,240	8,283
11.3 Other than full-time permanent	125	34	34	-
11.5 Other personnel compensation	2,243	4,361	4,492	131
11.6 Pay Diff (Sun/Night)	1,967	488	488	-
12.1 Benefits	10,342	9,509	14,277	4,768
12.4 Allowances	68	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>37,047</b>	<b>37,349</b>	<b>50,531</b>	<b>13,182</b>

In FY 2013, a decrease of -\$171,000 is reduction to NII Investments and Operations and Maintenance. In FY 2013, an increase of \$171,000 is an increase for FY 2013 Pay Increase. In FY 2013, an increase of \$5,202,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$7,980,000 is for an enhancement to the National Targeting Center.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$4,045	\$1,709	\$1,917	\$208

In FY 2013, an increase of \$208,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$660	\$492	\$480	-\$12

In FY 2013, a decrease of -\$12,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$414	\$314	\$583	\$269

In FY 2013, an increase of \$220,000 is an object class realignment. In FY 2013, an increase of \$49,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$1,249	\$5,754	\$5,798	\$44

In FY 2013, an increase of \$2,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$42,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$15	\$6	\$9	\$3

In FY 2013, an increase of \$3,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$123	\$884	\$899	\$15

In FY 2013, an increase of \$15,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$1,186	\$2,542	\$2,010	-\$532

In FY 2013, a decrease of -\$262,000 is an object class realignment. In FY 2013, a decrease of -\$270,000 is an annualization of prior year initiatives.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Training at the Ports of Entry**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,091	1,102	1,102	-
11.5 Other personnel compensation	-	3	3	-
11.7 Military personnel/Awards	-	4	4	-
12.1 Benefits	313	2,620	2,620	-
<b>Total, Personnel and Compensation Benefits</b>	<b>1,404</b>	<b>3,729</b>	<b>3,729</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	7,889	15,325	14,456	(869)
22.0 Transportation of things	8	13	9	(4)
23.3 Communications, utilities, and misc. charges	326	520	518	(2)
25.1 Advisory and assistance services	1	-	-	-
25.2 Other services	6,456	14,334	12,808	(1,526)
25.3 Purchases from Gov't accts.	544	-	-	-
25.4 O&M of facilities	2,739	-	-	-
25.7 Operation and maintenance of equipment	89	-	-	-
26.0 Supplies and materials	860	2,593	2,387	(206)
31.0 Equipment	390	1,320	953	(367)
<b>Total, Other Object Classes</b>	<b>19,302</b>	<b>34,105</b>	<b>31,131</b>	<b>(2,974)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>20,706</b>	<b>37,834</b>	<b>34,860</b>	<b>(2,974)</b>
<b>Full Time Equivalents</b>	<b>13</b>	<b>35</b>	<b>35</b>	-

**Training at the Ports of Entry Mission Statement**

The Office of Training and Development exists to develop and deliver basic, mid, and advanced level training programs for all CBP employees, especially mission critical occupations (e.g., CBP Officers, Agricultural Specialists, Imports Specialists, and Entry Specialists) at the ports of entry. This training empowers CBP employees with the necessary skill sets to achieve the goal of combating terrorism, improving border security, improving inspection and control, and facilitating trade.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,091	1,102	1,102	-
11.5 Other personnel compensation	-	3	3	-
11.7 Military personnel/Awards	-	4	4	-
12.1 Benefits	313	2,620	2,620	-
<b>Total, Salaries &amp; Benefits</b>	<b>1,404</b>	<b>3,729</b>	<b>3,729</b>	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$7,889	\$15,325	\$14,456	-\$869

In FY 2013, a decrease of -\$869,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$8	\$13	\$9	-\$4

In FY 2013, a decrease of -\$4,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$326	\$520	\$518	-\$2

In FY 2013, a decrease of -\$2,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$6,456	\$14,334	\$12,808	-\$1,526

In FY 2013, a decrease of -\$1,526,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$860	\$2,593	\$2,387	-\$206

In FY 2013, a decrease of -\$206,000 is an annualization of prior year initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$390	\$1,320	\$953	-\$367

In FY 2013, a decrease of -\$367,000 is an annualization of prior year initiatives.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Border Security Control**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,583,435	1,716,200	1,753,224	37,024
11.3 Other than full-time permanent	3,957	2,390	2,390	-
11.5 Other personnel compensation	115,138	143,721	146,932	3,211
11.6 Pay Diff (Sun/Night)	469,018	372,649	372,392	(257)
11.7 Military personnel/Awards	11,719	12,762	12,762	-
12.1 Benefits	913,163	881,763	908,230	26,467
12.4 Allowances	26,208	308	308	-
12.6 Temp Quarters	11,976	13,217	12,366	(851)
<b>Total, Personnel and Compensation Benefits</b>	<b>3,134,614</b>	<b>3,143,010</b>	<b>3,208,604</b>	<b>65,594</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	61,163	86,246	82,179	(4,067)
22.0 Transportation of things	3,324	300	100	(200)
23.1 GSA rent	1,164	-	-	-
23.2 Other rent	10,166	12,741	3,114	(9,627)
23.3 Communications, utilities, and misc. charges	25,674	28,559	13,029	(15,530)
24.0 Printing	1,555	-	-	-
25.1 Advisory and assistance services	281	-	-	-
25.2 Other services	135,193	120,711	111,629	(9,082)
25.3 Purchases from Gov't accts.	45,698	-	204	204
25.4 O&M of facilities	556	-	-	-
25.6 Medical care	10,893	-	-	-
25.7 Operation and maintenance of equipment	34,272	1,565	1,437	(128)
25.8 Subsistence & Support of persons	2,951	-	-	-
26.0 Supplies and materials	118,672	90,524	85,991	(4,533)
31.0 Equipment	97,487	47,600	45,553	(2,047)
91.0 Unvouchered	230	-	-	-
<b>Total, Other Object Classes</b>	<b>549,279</b>	<b>388,246</b>	<b>343,236</b>	<b>(45,010)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(262)	-	262
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(262)</b>	-	<b>262</b>
<b>Total Requirements</b>	<b>3,683,893</b>	<b>3,530,994</b>	<b>3,551,840</b>	<b>20,846</b>
<b>Full Time Equivalents</b>	<b>22,683</b>	<b>23,306</b>	<b>23,277</b>	<b>(29)</b>

**Border Security Control Mission Statement**

The Office of Border Patrol (OBP) prevents the entry of terrorists and their instruments of terror, illegal immigrants, and contraband between the ports of entry. This mission accomplished through the judicious use of resources including personnel, surveillance technology, communications, transportation, facilities, and mission support activities. Border Patrol agents deter uncontrolled entry into the interior of the U.S. by: the rapid detection, interception, and apprehension of illegal entrants at or near the border; interdicting or deterring illegal aliens, drug smugglers, potential terrorists and criminals from attempting illegal entry between ports-of-entry; and causing persons seeking admission into the U.S. to present themselves at designated ports for inspection.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,583,435	1,716,200	1,753,224	37,024
11.3 Other than full-time permanent	3,957	2,390	2,390	-
11.5 Other personnel compensation	115,138	143,721	146,932	3,211
11.6 Pay Diff (Sun/Night)	469,018	372,649	372,392	(257)
11.7 Military personnel/Awards	11,719	12,762	12,762	-
12.1 Benefits	913,163	881,763	908,230	26,467
12.4 Allowances	26,208	308	308	-
<b>Total, Salaries &amp; Benefits</b>	<b>3,122,638</b>	<b>3,129,793</b>	<b>3,196,238</b>	<b>66,445</b>

In FY 2013, a decrease of -\$4,048,000 is a reduction to Field Support Staff. In FY 2013, a decrease of -\$851,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, an increase of \$12,047,000 is an increase for FY 2013 Pay Increase. In FY 2013, an increase of \$20,612,000 is an annualization of prior year initiatives. In FY 2013, an increase of \$38,091,000 is an increase in pay requirements due to lower Border Patrol agent attrition.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$61,163	\$86,246	\$82,179	-\$4,067

In FY 2013, a decrease of -\$109,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$3,892,000 is a DHS Management efficiency for TDY and travel. In FY 2013, a decrease of -\$66,000 is a DHS Management efficiency for personnel change of station costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$3,324	\$300	\$100	-\$200

In FY 2013, a decrease of -\$10,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$190,000 is a DHS Management efficiency for personnel change of station costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$10,166	\$12,741	\$3,114	-\$9,627

In FY 2013, a decrease of -\$38,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$9,589,000 is a transfer to further consolidate the CBP rent program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$25,674	\$28,559	\$13,029	-\$15,530

In FY 2013, a decrease of -\$1,300,000 is a reduction for deactivation of 9 inland Border Patrol stations. In FY 2013, a decrease of -\$100,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$14,130,000 is a transfer to centralize utilities management.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$135,193	\$120,711	\$111,629	-\$9,082

In FY 2013, a decrease of -\$1,863,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$1,961,000 is an object class realignment. In FY 2013, a decrease of -\$12,258,000 is a reduction to CBP Transportation Program. In FY 2013, a decrease of -\$336,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$55,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$609,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$8,000,000 is enhancement to ICE Medical Detention Support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$45,698	0	\$204	\$204

In FY 2013, a decrease of -\$190,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$50,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$87,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, an increase of \$531,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$34,272	\$1,565	\$1,437	-\$128

In FY 2013, a decrease of -\$128,000 is a DHS Management efficiency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$118,672	\$90,524	\$85,991	-\$4,533

In FY 2012, an increase of \$5,000 is FY 2011 carryover. In FY 2013, a decrease of -\$3,392,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$411,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$725,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$97,487	\$47,600	\$45,553	-\$2,047

In FY 2013, a decrease of -\$1,550,000 is reduction to CBP Fleet Acquisition and Management. In FY 2013, a decrease of -\$371,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$47,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$79,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Training Between the Ports of Entry**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	13,856	31,024	31,024	-
11.3 Other than full-time permanent	81	59	59	-
11.5 Other personnel compensation	29	2	2	-
11.6 Pay Diff (Sun/Night)	1,865	294	294	-
12.1 Benefits	4,668	13,078	13,078	-
12.6 Temp Quarters	97	1,242	1,242	-
<b>Total, Personnel and Compensation Benefits</b>	<b>20,596</b>	<b>45,699</b>	<b>45,699</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	8,438	20,324	20,324	-
22.0 Transportation of things	14	348	348	-
23.3 Communications, utilities, and misc. charges	51	326	326	-
25.2 Other services	6,183	16,899	2,399	(14,500)
25.7 Operation and maintenance of equipment	216	-	-	-
26.0 Supplies and materials	535	2,126	2,126	-
31.0 Equipment	55	2,888	2,888	-
<b>Total, Other Object Classes</b>	<b>15,492</b>	<b>42,911</b>	<b>28,411</b>	<b>(14,500)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>36,088</b>	<b>88,610</b>	<b>74,110</b>	<b>(14,500)</b>
<b>Full Time Equivalents</b>	<b>171</b>	<b>369</b>	<b>369</b>	-

**Training Between the Ports of Entry Mission Statement**

The Office of Training and Development exists to provide core operational training for Border Patrol Agents whose primary responsibility lies between the ports of entry. This training empowers CBP employees with the necessary skill sets to achieve the goal of safeguarding the borders of the United States. This training ensures that CBP is able to rapidly deploy a highly motivated, well-trained workforce, both on a temporary and permanent basis, who can quickly respond to potential terrorist threats, shifts in smuggling patterns and other national security threats.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	13,856	31,024	31,024	-
11.3 Other than full-time permanent	81	59	59	-
11.5 Other personnel compensation	29	2	2	-
11.6 Pay Diff (Sun/Night)	1,865	294	294	-
12.1 Benefits	4,668	13,078	13,078	-
<b>Total, Salaries &amp; Benefits</b>	<b>20,499</b>	<b>44,457</b>	<b>44,457</b>	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$6,183	\$16,899	\$2,399	-\$14,500

In FY 2013, a decrease of -\$14,500,000 is a reduction to Academy Training and Operations.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**Air and Marine Operations Personnel Compensation and Benefits**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	162,213	162,921	159,180	(3,741)
11.3 Other than full-time permanent	14	124	124	-
11.5 Other personnel compensation	22,045	20,820	20,308	(512)
11.6 Pay Diff (Sun/Night)	14,052	14,727	14,176	(551)
11.7 Military personnel/Awards	2,252	2,691	2,628	(63)
12.1 Benefits	75,892	77,389	74,437	(2,952)
12.4 Allowances	1,247	510	510	-
12.6 Temp Quarters	1,897	2,943	3,974	1,031
<b>Total, Personnel and Compensation Benefits</b>	<b>279,612</b>	<b>282,125</b>	<b>275,337</b>	<b>(6,788)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,333	784	732	(52)
22.0 Transportation of things	493	1,695	1,654	(41)
23.1 GSA rent	-	-	77	77
23.2 Other rent	18	-	-	-
23.3 Communications, utilities, and misc. charges	112	137	60	(77)
24.0 Printing	296	-	-	-
25.1 Advisory and assistance services	1,420	-	1,598	1,598
25.2 Other services	8,149	1,669	-	(1,669)
25.3 Purchases from Gov't accts.	370	-	-	-
25.6 Medical care	88	-	-	-
25.7 Operation and maintenance of equipment	287	4	-	(4)
26.0 Supplies and materials	6,316	1,229	1,200	(29)
31.0 Equipment	1,634	258	161	(97)
<b>Total, Other Object Classes</b>	<b>20,516</b>	<b>5,776</b>	<b>5,482</b>	<b>(294)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>300,128</b>	<b>287,901</b>	<b>280,819</b>	<b>(7,082)</b>
<b>Full Time Equivalents</b>	<b>1,899</b>	<b>1,915</b>	<b>1,870</b>	<b>(45)</b>

**Air and Marine Operations Personnel Compensation and Benefits Mission Statement**

The purpose of Air and Marine Salaries is to apply the skills and expertise of CBP air and marine personnel to deter, interdict, and prevent acts of terrorism arising from unlawful movement of people and goods across the borders of the United States. Having aircraft and vessels along the borders reduces the quantity of drugs entering the U.S. and minimizes threat levels. The goal of this program is to deny the use of air, land and coastal waters for conducting acts of terrorism and other illegal activities against the United States.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	162,213	162,921	159,180	(3,741)
11.3 Other than full-time permanent	14	124	124	-
11.5 Other personnel compensation	22,045	20,820	20,308	(512)
11.6 Pay Diff (Sun/Night)	14,052	14,727	14,176	(551)
11.7 Military personnel/Awards	2,252	2,691	2,628	(63)
12.1 Benefits	75,892	77,389	74,437	(2,952)
12.4 Allowances	1,247	510	510	-
<b>Total, Salaries &amp; Benefits</b>	<b>277,715</b>	<b>279,182</b>	<b>271,363</b>	<b>(7,819)</b>

In FY 2013, a decrease of -\$164,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$231,000 is a DHS Management efficiency for overtime. In FY 2013, a decrease of -\$419,000 is a reduction to Field Support Staff. In FY 2013, a decrease of -\$7,030,000 is a reduction to Air and Marine Staff. In FY 2013, an increase of \$1,056,000 is an increase for FY 2013 Pay Increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$1,333	\$784	\$732	-\$52

In FY 2013, a decrease of -\$1,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$11,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$40,000 is a DHS Management efficiency for TDY and travel.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$493	\$1,695	\$1,654	-\$41

In FY 2013, a decrease of -\$2,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$39,000 is a DHS Management efficiency for personnel change of station costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	0	\$77	\$77

In FY 2013, an increase of \$77,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$112	\$137	\$60	-\$77

In FY 2013, a decrease of -\$77,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$1,420	0	\$1,598	\$1,598

In FY 2013, a decrease of -\$25,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$6,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$6,000 is a DHS Management efficiency. In FY 2013, an increase of \$1,635,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$8,149	\$1,669	0	-\$1,669

In FY 2013, a decrease of -\$1,545,000 is an object class realignment. In FY 2013, a decrease of -\$11,000 is a DHS Management efficiency for personnel change of station costs. In FY 2013, a decrease of -\$11,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$18,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$84,000 is a DHS Management efficiency for directed purchasing savings.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$287	\$4	0	-\$4

In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency for directed purchasing savings.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$6,316	\$1,229	\$1,200	-\$29

In FY 2013, a decrease of -\$22,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$3,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$1,634	\$258	\$161	-\$97

In FY 2013, a decrease of -\$1,000 is a DHS Management efficiency. In FY 2013, a decrease of -\$2,000 is a DHS Management efficiency for DHS Strategic Sourcing Initiatives. In FY 2013, a decrease of -\$4,000 is a DHS Management efficiency for directed purchasing savings. In FY 2013, a decrease of -\$90,000 is an object class realignment.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Salaries and Expenses**  
**US-VISIT**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	39,171	39,171
11.3 Other than full-time permanent	-	-	400	400
11.5 Other personnel compensation	-	-	1,019	1,019
12.1 Benefits	-	-	11,345	11,345
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>51,935</b>	<b>51,935</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	196	196
22.0 Transportation of things	-	-	455	455
23.1 GSA rent	-	-	3,777	3,777
23.2 Other rent	-	-	2,938	2,938
23.3 Communications, utilities, and misc. charges	-	-	7,591	7,591
24.0 Printing	-	-	232	232
25.1 Advisory and assistance services	-	-	19,298	19,298
25.2 Other services	-	-	54,120	54,120
25.3 Purchases from Gov't accts.	-	-	11,036	11,036
25.4 O&M of facilities	-	-	317	317
25.7 Operation and maintenance of equipment	-	-	69,581	69,581
26.0 Supplies and materials	-	-	272	272
31.0 Equipment	-	-	39,775	39,775
<b>Total, Other Object Classes</b>	-	-	<b>209,588</b>	<b>209,588</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>261,523</b>	<b>261,523</b>
<b>Full Time Equivalents</b>	-	-	<b>338</b>	<b>338</b>

**US-VISIT Mission Statement**

The mission of US-VISIT program is to provide biometric identification through the collection, maintenance, and sharing of biometric information and selected biographic data to authorized DHS, Federal, State, local government and law enforcement agencies, and through international data-sharing agreements with strategic foreign partners in support of the DHS mission. Through its use of biometrics, US-VISIT collects, stores, and shares digital fingerscans and digital photographs for subsequent verification. This biometric information is paired with biographic information used to establish and verify an individual's identity, as well as match that identity against criminal and immigration violator watchlists. US-VISIT also analyzes biographic data for identification of criminal and immigration violator watchlists criminal and immigration violator watchlists.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	39,171	39,171
11.3 Other than full-time permanent	-	-	400	400
11.5 Other personnel compensation	-	-	1,019	1,019
12.1 Benefits	-	-	11,345	11,345
<b>Total, Salaries &amp; Benefits</b>	-	-	<b>51,935</b>	<b>51,935</b>

In FY 2013, an increase of \$51,935,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	0	\$196	\$196

In FY 2013, an increase of \$196,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	0	0	\$455	\$455

In FY 2013, an increase of \$455,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	0	\$3,777	\$3,777

In FY 2013, an increase of \$3,777,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	0	\$2,938	\$2,938

In FY 2013, an increase of \$2,938,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	0	0	\$7,591	\$7,591

In FY 2013, an increase of \$7,591,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	0	0	\$232	\$232

In FY 2013, an increase of \$232,000 is from a transfer of the US-Visit program to CBP.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	0	\$19,298	\$19,298

In FY 2013, an increase of \$19,298,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	0	\$54,120	\$54,120

In FY 2013, an increase of \$54,120,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	0	\$11,036	\$11,036

In FY 2013, an increase of \$11,036,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	0	0	\$317	\$317

In FY 2013, an increase of \$317,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	0	\$69,581	\$69,581

In FY 2013, an increase of \$69,581,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	0	\$272	\$272

In FY 2013, an increase of \$272,000 is from a transfer of the US-Visit program to CBP.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	0	0	\$39,775	\$39,775

In FY 2013, an increase of \$39,775,000 is from a transfer of the US-Visit program to CBP.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>49,557</b>	<b>50,667</b>	<b>53,249</b>
<b>Increases</b>			
Annualization of FY 2011 Intelligence Analyst Staffing (103 Pos.)	-	51	-
Annualization of FY 2011 Intellectual Property Rights Enforcement (200 Pos.)	-	133	-
Transfer of Attorneys to Chief Counsel	-	8	-
Enhancement to Targeting Systems and Staff	-	-	25
Annualization of FY 2011 CBPO Staffing (318 CBPOs)	-	194	-
Filling Vacant CBP Officer, BP Agent, and other positions	-	815	-
FY 2012 Cong. Add-On - Trade Enforcement and Compliance	-	40	-
FY2012 Field Operations positions to staff new ports of entry	-	182	-
Annualization of FY 2010 Border Security Supplemental	-	1,346	-
FY 2012 Immigration Advisory Program	-	6	-
FY 2012 National Targeting Center	-	33	-
Enhancement for Centers of Excellence and Expertise	-	-	5
Annualization of FY 2012 Field Operations positions at new ports of entry	-	-	130
Annualization of FY 2012 National Targeting Center	-	-	32
Annualization of Immigration Advisory Program	-	-	5
Transfer of US-VISIT to CBP	-	-	338
Transfers to Realign OTIA funding to S&E	-	-	181
<b>Subtotal, Increases</b>	<b>-</b>	<b>2,808</b>	<b>716</b>
<b>Decreases</b>			
Reduction to Air and Marine Staff	-	-	(42)
Reduction associated with closing 2 National Targeting & Analysis Groups	-	-	(12)
Reduction to Management and Administration Staffing & Services	-	-	(122)
Reduction to Field Support Staff	-	-	(66)
Transfer of FM&E staff to Facilities	-	(226)	-
Reduction to Trade's National Account Manager, Rulings, & Revenue Policy Staff	-	-	(21)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(226)</b>	<b>(263)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>49,557</b>	<b>53,249</b>	<b>53,702</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>2,582</b>	<b>453</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
MA Border Security Inspections and Trade Facilitation	\$38,241	\$24,588	\$40,895	\$16,307
MA Border Security and Control between Ports of Entry	41,699	26,812	44,594	17,782
<b>Total Working Capital Fund</b>	<b>79,940</b>	<b>51,400</b>	<b>85,489</b>	<b>34,089</b>

**K. DHS Balanced Workforce Strategy**

Not Applicable

# Department of Homeland Security

*U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and  
Technology*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Border Security Fencing, Infrastructure, and Technology (BSFIT)**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Border Security Fencing, Infrastructure, and Technology:**

The Border Security Fencing, Infrastructure, and Technology appropriation supports the Department of Homeland Security (DHS) and CBP missions by delivering detection and surveillance technology systems, Tactical Infrastructure (TI), and Tactical Communications Modernization (TACCOM). DHS's border security mission, as outlined in the 2010 Quadrennial Homeland Security Review (Mission II – Securing and Managing Our Borders), is to prevent the illegal flow of people and goods across U.S. air, land, and sea borders while both expediting the safe flow of lawful trade and commerce, and disrupting and dismantling transnational criminal organizations. DHS has set an objective of substantially increasing situational awareness at our borders in order to help detect and classify potential threats and effectively resolve them. In addition, DHS has made a priority of building our existing partnerships with our North American neighbors in order to collaboratively address threats to the continent.

Correspondingly, a priority mission of CBP, as outlined in CBP's Missions, Goals, and Priorities, Fiscal Years (FY) 2011-2013, is Securing America's Borders (Line of Business [LOB] 1), with a goal to secure the Southwest border by increasing the probability of apprehension and consequences of attempting to enter the United States illegally or engaging in cross-border crime. LOB 1 reflects CBP's core mission area of securing the border and preventing contraband, illegal migrants, terrorists and terrorist weapons from entering the United States. LOB 1 includes the people that perform the mission as well as air platforms, marine assets, technology, and equipment that they use.

CBP's top priority along the Southwest border is securing the border in Arizona while managing illegal flows elsewhere. Given the threat level, this requires a heavy personnel presence as well as a variety of detection and surveillance technologies and tactical infrastructure. The Northern border is a very different threat environment. It spans thousands of miles where Federal law enforcement personnel assets are limited; therefore, intelligence, aviation assets, partnerships, and technology are essential to addressing threats and reducing vulnerabilities.

The final component of the Arizona Plan is the delivery of Integrated Fixed Tower (IFT) systems in five Border Patrol station Areas of Responsibility (AoR). CBP's acquisition strategy is to procure, deploy and test the first AoR deployment as quickly as possible (using FY 2012 enacted funds). The FY 2013 BSFIT request supports the acquisition of additional IFT AoR system deployments in Arizona. CBP is aggressively pursuing cost savings and other efficiencies to complete the procurement and deployment for four out of an expected five systems with this and prior year requests. Simultaneous procurement and deployment of multiple systems offers CBP the opportunity to take advantage of cost efficiencies (bulk procurement of system hardware components) and construction efficiencies (better management of labor resources). The program cost and schedule is ultimately dependent on the costs and technical viability (readiness) of industry bids received through the source

selection process as well as continued negotiations with land owners. The IFT contract will be awarded by the end of FY 2012.

The BSFIT technology portfolio including the Arizona Plan is managed by the Office of Technology Innovation and Acquisition (OTIA) Program Management Office (PMO). BSFIT technology programs deliver detection and surveillance systems to both the Southwest and Northern borders. These technologies increase situational awareness and assist law enforcement personnel in identifying and resolving illegal activity. The TI program, which is managed by the Office of Administration's Border Patrol Facilities and TI (BPFTI) PMO, consists of projects that provide persistent impedance (fencing, etc.) and agent access (roads, drainage, etc.) to the border. TACCOM, which is managed by the Office of Information and Technology (OIT) Wireless Systems Program Office (WSPO), provides communications capabilities that permit CBP agents and officers to coordinate their activities in all environments and are essential to agent safety.

Additionally, CBP is actively engaged with senior-level and working-level elements of the Department of Defense (DoD) to identify and exploit DoD technologies to further border security efforts. OTIA is executing a Memorandum of Understanding (MOU) with Joint PMO Guardian and the U.S. Army's Rapid Equipping Force PM NV/RSTA to facilitate the transfer of DoD technologies and resources, specifically from the Southwest Asia retrograde operations, as these resources become available for immediate reuse within CBP. CBP often works with DoD to tailor already-existing technology (originally designed for a DoD application) to CBP's mission and evaluate potential future technologies.

In response to direction in the *FY 2012 Consolidated Appropriations Act* (P.L. 112-74) Conference Report that "all funds for OTIA shall be requested within the "Salaries and Expenses" appropriation for fiscal year 2013," CBP has taken two actions. First, starting in FY 2013, all OTIA Government Full Time Equivalent (FTE) and associated expenses were moved from the BSFIT Program Management (PM) PPA into either the Headquarters Management and Administration (HQ M&A) PPA within Salaries and Expenses (S&E) or, in the case of those associated with tactical infrastructure, to Facilities Management. This funding restructuring complies with Congressional guidance and provides Congress a clearer, consolidated view of Government FTE throughout CBP. This also removes ambiguity regarding OTIA authority to use its organizational resources across CBP (i.e. non-BSFIT programs) to fulfill its role as CBP Component Acquisition Executive. Second, starting in FY 2013, CBP requests program management support services and environmental mitigation via the BSFIT Development and Deployment (D&D) PPA. Historically, these activities resided in the BSFIT PM PPA. The result of this accounting restructuring is the better alignment of these resource requests to the actual programs and projects that determine the need for the service(s), and also the liquidation and discontinuation of the BSFIT PM PPA.

### **B. Budget Activities:**

The BSFIT appropriation is comprised of two major investment accounts PPAs: 1) Development and Deployment and 2) Operations and Maintenance.



- **Development and Deployment**

Development and Deployment funds provide engineering, development, testing, construction, and fielding of surveillance and detection technologies, including sensor systems, radars, and day/night cameras to improve the ability of CBP operational forces to detect, identify, classify, and track illegal entries and items of interest (IOIs) across all border environments. These sensor systems are deployed on fixed towers, mobile platforms (wheeled vehicles and aircraft), and through agent portable systems. Starting in FY 2013 project-specific environmental activities and support contract will be included in the D&D request.

- **Operations and Maintenance (O&M)**

Operations and Maintenance funds provide logistics support – supply, maintenance, and training services – to operate and maintain all border surveillance technology deployments as well as legacy surveillance and communication systems. A combination of Government and contractor logistics activities will provide maintenance management, system support analysis, call center operations, asset management, critical property, spare parts storage, inventory records management, field services, and training.

### **C. Budget Request Summary:**

DHS requests \$327.099 million for the FY 2013 BSFIT appropriation. The FY 2013 BSFIT request will fund acquisition, delivery, and sustainment of prioritized border security capabilities and services for the operational users. Funding will also be used to respond to changing threats and evolving operational needs. The Department's FY 2013 BSFIT request includes funding for the following:

1. **Integrated Fixed Towers** – Southwest border technology investment remains focused in Arizona utilizing existing, proven technology tailored to the distinct terrain and population density of each border region. The FY 2013 appropriations request funds the acquisition of at least one IFT AoR system, as described in the Arizona Technology Plan. Through potential cost and construction efficiencies, CBP seeks to accelerate the procurement of IFT systems for all five AoRs. IFT systems will be classified as a Non-Developmental Item (NDI) and use a full and open competition acquisition strategy with a Firm-Fixed Price contracting vehicle.
2. **Northern Border Programs** – The Northern Border programs provide technology deployments and demonstrations for addressing the needs and vulnerabilities of the Northern border maritime (river/lake) and cold weather environment. The FY 2013 request will support continued investment in technologies such as the continuation of procurement/testing and evaluation efforts for Low Flying Aircraft Detection (LFAD), the deployment of Maritime Detection Project (MDP), and an Advanced Video Download Link (AVDL).
3. **Tactical Communications Modernization** – The TACCOM project is managed by WSPO, which is responsible for upgrading the Land Mobile Radio (LMR) systems used by CBP agents. TACCOM systems are the primary communications lifeline for more than 44,000 agents and officers and are critical to the success of CBP missions and operations. TACCOM capabilities are fundamental tools that permit CBP agents and officers to coordinate their activities in all environments, thus increasing agent safety and effectiveness.

4. **Program and Technical Support** – Provides for activities related to technical and program support such as systems engineering services, contractor PMO support, advanced technology road mapping, and modeling and simulation.
5. **Operations and Maintenance of Fielded Systems** – Provides logistics support—supply, maintenance, repair and training services—to operate and maintain border surveillance technology systems, as well as legacy surveillance and communication systems. A combination of government and contractor logistics activities will provide maintenance management, system support analysis, call center operations, asset management, spare parts storage, management and inventory records, field services, and training.

In collaboration with CBP Facilities Maintenance & Engineering (FM&E), O&M provides maintenance and repair (M&R) services for all types of tactical infrastructure, both legacy and newly constructed, to include maintenance and repair of fences, gates, roads, bridges, drainage structures, grates, lighting, electrical systems, and debris removal. O&M also includes the development and implementation of a tracking system to capture and store data so that future maintenance work can be better scoped and planned. Finally, O&M provides M&R services for the real property associated with RVSS towers including maintenance and repair of the site itself, mechanical and electrical components, fuel tanks, racks and other components and may even include the replacement of the entire physical tower itself.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and Technology:  
Summary of FY 2013 Budget Estimates by Program Project Activity**

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Program Management	205	205	80,323	205	205	54,375	-	-	-	(205)	(205)	(54,375)	-	-	-	(205)	(205)	(54,375)
Operations and Maintenance	-	-	173,367	-	-	133,248	-	-	138,283	-	-	5,035	-	-	-	-	-	5,035
Development and Deployment	-	-	193,174	-	-	212,377	-	-	188,816	-	-	(23,561)	-	-	141,765	-	-	(165,326)
<b>Total, Border Security Fencing, Infrastructure, and Technology:</b>	<b>205</b>	<b>205</b>	<b>446,864</b>	<b>205</b>	<b>205</b>	<b>400,000</b>	<b>-</b>	<b>-</b>	<b>327,099</b>	<b>(205)</b>	<b>(205)</b>	<b>(72,901)</b>	<b>-</b>	<b>-</b>	<b>141,765</b>	<b>(205)</b>	<b>(205)</b>	<b>(214,666)</b>
Subtotal, Enacted Appropriations and Budget Estimates	205	205	446,864	205	205	400,000	-	-	327,099	(205)	(205)	(72,901)	-	-	141,765	(205)	(205)	(214,666)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>205</b>	<b>205</b>	<b>446,864</b>	<b>205</b>	<b>205</b>	<b>400,000</b>	<b>-</b>	<b>-</b>	<b>327,099</b>	<b>(205)</b>	<b>(205)</b>	<b>(72,901)</b>	<b>-</b>	<b>-</b>	<b>141,765</b>	<b>(205)</b>	<b>(205)</b>	<b>(214,666)</b>

1. FY 2011 actuals includes funding from the *FY 2010 Emergency Border Security Supplemental* (P.L. 111-230)
2. FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$7.0 million, pursuant to P.L. 112-74.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Program Management**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Program Management**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>205</b>	<b>205</b>	<b>80,323</b>
<b>2012 Enacted Budget Authority</b>	<b>205</b>	<b>205</b>	<b>54,375</b>
2013 Adjustments-to-Base	(205)	(205)	(54,375)
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	(205)	(205)	(54,375)

CBP requests \$0 million for Program Management

- Decrease of -\$23.627 million for a transfer to realign OTIA funding to Salaries and Expenses (S&E)
- Decrease of -\$3.247 million for a transfer to realign OTIA Funding: TI
- Decrease of -\$27.327 million for an adjustment in Program Management PPA and realign funding to D&D PPA
- Decrease of -\$174.000 million for consolidation of rent into the Rent PPA

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In response to direction in the *FY 2012 Consolidated Appropriations Act* Conference Report that “all funds for OTIA shall be requested within the “Salaries and Expenses” appropriation for fiscal year 2013,” CBP has taken two actions. Starting in FY 2013, all OTIA Government FTE and associated expenses were moved from the BSFIT PM PPA into either the S&E HQ M&A PPA or, in the case of those associated with tactical infrastructure, to Facilities Management. This funding restructuring complies with Congressional guidance and provides Congress a clearer, consolidated view of Government FTE throughout CBP. This also removes ambiguity regarding OTIA authority to use its organizational resources across CBP (i.e. non-BSFIT programs) to fulfill its role as CBP Component Acquisition Executive (CAE).

**Department of Homeland Security  
U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and Technology:  
Operations and Maintenance  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Operations and Maintenance**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>173,367</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>133,248</b>
2013 Adjustments-to-Base	-	-	5,035
<b>2013 Current Services</b>	-	-	<b>138,283</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>138,283</b>
Total Change 2012 to 2013	-	-	5,035

CBP requests \$138.3 million for Operations & Maintenance. The request includes:

- Increase of \$5.035 million for an increase to Operations & Maintenance PPA

**CURRENT SERVICES PROGRAM DESCRIPTION:**

O&M funds provide logistics support—supply, maintenance, repair and training services—to operate and maintain border surveillance technology systems, as well as legacy surveillance and communication systems. A combination of Government and contractor logistics activities will provide maintenance management, system support analysis, call center operations, asset management, spare parts storage, management and inventory records, field services, and training.

O&M provides maintenance and repair (M&R) services for all types of tactical infrastructure, both legacy and newly constructed, to include maintenance and repair of fences, gates, roads, bridges, drainage structures, grates, lighting, electrical systems, and debris removal. O&M also includes the development and implementation of a tracking system to capture and store data so that future maintenance work can be better scoped and planned. Finally, O&M provides M&R services for the real property associated with RVSS towers including maintenance and repair of the site itself, mechanical and electrical components, fuel tanks, racks and other components and may even include the replacement of the entire physical tower itself.

FY 2013 funding will also be used to support O&M requirements for fielded systems, specifically, mobile agent-centric systems and Northern border air & marine awareness technology deployed in FY

2012. Moreover, additional BSFIT funding is required to support the continued sustainment of SBI net Block 1 and RVSS (new & replacement).

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Development and Deployment**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Development and Deployment**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>193,174</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>212,377</b>
2013 Adjustments-to-Base	-	-	(165,326)
<b>2013 Current Services</b>	-	-	<b>47,051</b>
2013 Program Change	-	-	141,765
<b>2013 Total Requested Budget Authority</b>	-	-	<b>188,816</b>
Total Change 2012 to 2013	-	-	(23,561)

CBP requests \$188.8 million for Development and Deployment. The request includes

- Increase of \$27.327 million for an adjustment in Program Management PPA, of which all is from realignment of existing funding to D&D PPA
- Decrease of -\$192.653 million to non-recur the FY 2012 Development & Deployment enhancements
- Increase of \$10.0 million for an enhancement for Northern Border Technology
- Increase of \$91.765 million for an enhancement for Integrated Fix Towers
- Increase of \$40.0 million for an enhancement for Tactical Communications

**CURRENT SERVICES PROGRAM DESCRIPTION:**

D&D funds new investments and surveillance and detection technologies, including sensor systems, radars, and day/night cameras to improve CBP operational forces' ability to detect, identify, classify, and track illegal entries and items of interest across all border environments. These systems are deployed on fixed structures, mobile platforms (wheeled vehicles and aircraft), and on the ground.

Additionally, D&D provides for related activities, such as technical support, systems engineering services, prime contractor program management, advanced technology development, Operational Test & Evaluation support, and environmental planning, assessment, and mitigation activities associated with deploying technology and Tactical Infrastructure.

D&D investment funding is requested as a program change, causing a portion of D&D funding to be recorded as a “new initiative.” The adjustments-to-base reflect the non-recurrence of previous D&D program changes and funds previously requested through the Program Management PPA. The FY 2013 request consists of three program increases (which are described in greater detail in section IV: Program Justification Changes).

FY 2013 funding for the Arizona Technology plan will be used to procure one or more IFT AoR systems in Arizona. TACCOM will receive funding to complete the P-25 modernization and the Digital in Place project while conducting initial planning for TacNet. Northern border will continue to enhance surveillance, detection, and intelligence gathering by further investment in Advanced Video Download Link (AVDL), Low Flying Aircraft Detection, and the Maritime Detection Project Funding for Technology/Systems Engineering Support provides systems engineering services, advanced technology roadmapping, and modeling and simulation.

Starting in FY 2013, BSFIT environmental funds and activities related to sustaining ongoing efforts and technical support such as systems engineering services, program management office support, advanced technology roadmapping, and modeling and simulation will be requested through the D&D PPA. Previously, these funds were requested through the PM PPA.

Also beginning in FY 2013, all program contractor support funds will be moved from the BSFIT PM PPA to the BSFIT D&D PPA. BSFIT programs utilize contractor support resources to provide specialized program management skills and expertise, not readily available in the Government workforce. Contractors provide support personnel, tools, planning, processes, procedures, and other resources to enable program objectives to be successfully implemented.



## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and Technology:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for Integrated Fixed Towers  
PPA: Development and Deployment  
Program Increase: Positions 0, FTE 0, Dollars \$91,765

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	47,051
Program Increase							-	-	91,765
<b>Total Request</b>	-	-	<b>193,174</b>	-	-	<b>212,377</b>	-	-	<b>138,816</b>

### Description of Item

The FY 2013 request for \$91.8 million is designed to support the acquisition and delivery of one or more Integrated Fixed Tower (IFT) Areas of Responsibility (AoR) systems.

### Justification

\$91.8 million is requested to support the continued deployment of proven, effective surveillance technology along the highest trafficked areas of the Southwest Border in Arizona. Funds will be used to procure and deploy commercially available technology tailored to the operational requirements of the Border Patrol, distinct terrain, and population density of each border region. These funds will allow CBP to fully deploy a mix of IFT and other mobile equipment along the Southwest border.

Currently, the final component of the Arizona Plan to be delivered is Integrated Fixed Tower (IFT) systems in five AoR. CBP's acquisition strategy is to procure, deploy and test the first AoR system as quickly as possible (using FY 2012 enacted funds). The FY 2013 BSFIT request supports acquisition of follow-on IFT AoR system deployments in Arizona. CBP is aggressively pursuing cost savings and other efficiencies in order to accelerate the procurement of all five systems. Based on the current program cost estimate for the fixed price, commercial system, CBP is cautiously optimistic that funds made available in FY 2012 and FY 2013 will support the procurement of up to four total deployments. Simultaneous procurement and deployment of multiple systems offers CBP the opportunity to take

advantage of cost efficiencies (bulk procurement of system hardware components) and construction efficiencies (better management of labor resources). The program cost and schedule is ultimately dependent on the costs and technical viability (readiness) of industry bids received through the source selection process as well as continued negotiations with land owners. The IFT contract will be awarded by the end of FY 2012.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

This investment aligns to CBP's top priority, reducing illicit flows and crimes in Arizona, as stated in CBP's Missions, Goals, and Priorities, FYs 2011-2013. Funds requested will be used to respond to the operational needs of Office of Border Patrol (OBP) by delivering situational awareness of border activity through surveillance and detection to facilitate apprehension.

The IFT systems will provide automated, persistent, wide-area surveillance for the detection, tracking, identification, and classification of illegal entries. With the comprehensive, wide-area, persistent surveillance that IFT would provide, CBP will have increased opportunities to thwart or deter threats.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for Tactical Communications  
PPA: Development and Deployment  
Program Increase: Positions 0, FTE 0, Dollars \$40,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	47,051
Program Increase							-	-	40,000
<b>Total Request</b>	-	-	<b>193,174</b>	-	-	<b>212,377</b>	-	-	<b>87,051</b>

**Description of Item**

The FY 2013 request includes \$40 million in Development and Deployment funding that will be used to:

- Complete development and deployment for the El Paso, Rio Grande Valley, and Houlton Border Patrol sectors
- Continue implementation of Digital in Place (DIP) project
- Initiate DHS Tactical Communications Network (TacNet) project
- Provide Wireless Systems Program Office (WSPO) support, such as staff salaries, supplies, leases, travel and etc.

**Justification**

CBP’s Land Mobile Radio (LMR) Tactical Communication (TACCOM) systems are the primary communications lifeline for more than 44,000 agents and officers that are critical to the success of CBP missions and operations. The TACCOM program upgrades and expands legacy analog hand-held radio communications to provide new digital technology with Advanced Encryption Standard (AES) protection, expanded coverage and capacity, and enhanced interoperability.

In FY 2010, CBP observed that there were some significant and critical limitations with its modernization approach that would not adequately address the growing need for mission-critical data like full motion video, sensor data, still-images, biometric information and location based situational awareness sought by CBP, Federal agencies and other public safety organizations. In late FY 2010, CBP recommended evaluating other models to deliver these capabilities, including subscription model on networks owned

by others such as the proposed National Public Safety Broadband Network. CBP tentatively refers to this new initiative as “TacNet” and is striving to award technology demonstrator projects to assess the feasibility of purchasing broadband communication systems through a third-party network service provider. Early in FY 2011, CBP outlined its new approach during an Acquisition Decision Event 1 (ADE-1) presentation to DHS, and was granted permission to proceed with an Analysis of Alternatives including Technology Demonstrators that will be the basis of the Analyze/Select phase of the DHS Acquisition Review Process.

On April 25, 2011, the CBP Executive Steering Committee provided approval for OIT to move forward with implementing the DIP project. This project will use funds formerly planned for the Laredo Focus Area Modernization to refresh in place all remaining CBP analog land mobile radio equipment nationwide to the digital P25 interoperability standard with AES and Over the Air Rekeying (OTAR) capabilities. It will also serve as the baseline configuration from which to continue modernization under TacNet. Since it would not involve new site build-out or frequency licenses (maintaining current capacity and coverage) many of the cost drivers and schedule delays inherent in a full-scale modernization effort would be avoided. Furthermore, this approach addresses CBP’s immediate need for a P25, AES platform and would allow CBP to achieve all the operational, training, and sustainment benefits of working from a common, unified, and digitized platform by FY 2014.

In summary, TACCOM will now focus on completing ongoing modernization projects in three Focus Areas (Houlton, El Paso, and Rio Grande Valley) and conduct a DIP “capstone” replacement of any remaining legacy analog LMR equipment in the remaining sectors. DIP will not provide any of the coverage or capacity enhancements provided by the other modernization projects, but will ensure a uniform baseline technology across the CBP TACCOM infrastructure. Moreover, it will position CBP for migration to next-generation tactical communications capabilities. Through TacNet, CBP is analyzing the most operationally effective and cost efficient way to provide data and video communications to the current voice-only capability as the next generation of tactical communications to support current, emerging, and future requirements.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

Specifically, TACCOM aligns with the initiative to “Design and implement a tactical communications plan” in CBP’s Missions, Goals, and Priorities, FYs 2011-2013. The TACCOM Modernization Program is upgrading tactical communications radio systems employed by CBP Border Patrol agents, Air Interdiction agents, Marine Interdiction agents, and CBP officers nationwide to provide a robust, open architecture P25-based system.

The LMR systems are the primary communications lifeline for agents and officers and are critical to their safety, as well as the success of their missions and operations. Upgrades will benefit CBP law enforcement agents and officers by providing increased capability, including security, and improved interoperability. These improved abilities will dramatically increase agent effectiveness and enhance Border Patrol’s mobile and flexible response capabilities.

CBP’s approach to providing tactical voice communications capabilities to end-users has evolved over the years. The immediate need for a P25, AES platform would allow CBP to achieve all the operational, training, and sustainment benefits of working from a common, unified, and digitized platform by the end of FY 2014. The need for a more life-cycle cost effective approach to tactical communications has driven

CBP to pursue an Analysis of Alternatives for the next generation of tactical communications delivery and to re-scope its own TACCOM Modernization Program to minimize LMR investments while meeting critical near-term communications needs. The TACCOM investment will have a lifecycle of at least 10 years, and thus will support CBP law enforcement end-users through the transition period needed to establish a next-generation broadband network.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for Northern Border  
PPA: Development and Deployment  
Program Increase: Positions 0, FTE 0, Dollars \$10,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	47,051
Program Increase							-	-	10,000
<b>Total Request</b>	-	-	<b>193,174</b>	-	-	<b>212,377</b>	-	-	<b>57,051</b>

**Description of Item**

FY 2013 funding of \$10 million is requested to support continued investment in technologies for the Northern Border, such as continuation of FY 2011 procurement/testing and evaluation efforts for Low Flying Aircraft Detection (\$5 million), the deployment of Maritime Detection Project (\$4 million), and Aircraft Video Downlink (\$1 million). The Northern Border program has already invested \$16.7 million in FY 2010 and FY 2011 for these projects.

**Justification**

The threats of concern on the Northern border include, but are not limited to: terrorist activity, drug smuggling, contraband smuggling, human smuggling, and *mala fide* travelers.

The Northern Border programs provide technology deployments and demonstrations for addressing the needs and vulnerabilities of the Northern border maritime (river/lake) and cold weather environment. Proven, stand-alone technologies are deployed to provide immediate operational benefits. These demonstrations and deployments explore how best to integrate various sensors, border security organizations, and mission operations in order to optimize border security in a vast, geographically challenging environment.

**Projects planned for 2013:**

Low Flying Aircraft Surveillance – Drug Trafficking Organizations (DTOs) have used float planes, helicopters, and fixed-wing aircrafts to deliver loads of narcotics along the Northern border to catchers on the ground (often leaving and returning to Canada within 15 – 30 minutes). Current law

enforcement resources are not sufficient due to a lack of persistent detection, identification, and tracking technology to support appropriate law enforcement resolution to this threat. The area's remoteness limits chances of being seen or receiving eye-witness reports. The topography along the Northern Border is varied, from flat plains to heavily forested mountainous terrain; consequently radar cannot be the "one-size-fits-all" solution along the Northern Border. Therefore, CBP seeks to provide a solution that will include a mix of technologies for low-flying aircraft surveillance.

Maritime Radar – The Maritime radar capability will provide detection and sorting capabilities to identify cross-border traffic and suspicious vessel activities. Radar will also provide intercept solutions and aids threat classification based on movement patterns (speed, position, and other factors). The project will deploy up to three radar systems in the Buffalo Sector area.

Aircraft Video Data Link (AVDL) – OAM utilizes a number of technologies, including the collection of full-motion video (FMV) by sensors mounted on various air and maritime assets, to provide a line of sight for agents to conduct interdiction and intelligence gathering. This OAM asset currently has limited ability to transmit and receive this video to ground stations where agents/officers can leverage the information in support of operations. The AVDL project will expand OAM's current ability to share and exploit FMV collected by OAM air and maritime assets that are monitoring the Northern Border.

Further investments will be focused on interoperability and collaboration between representatives of all components of CBP, United States Coast Guard and other DHS organizations, Federal law enforcement agencies, state and local law enforcement, and Canadian officials. The objective is to make balanced investments in filling capability gaps against priority threats in high-threat areas across the Northern border.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

Northern Border investments further CBP's strategic objective to secure the Northern border through an integrated approach to border enforcement as shown in CBP's Missions, Goals, and Priorities, FYs 2011-2013. This request enhances U.S. and Canadian coordination regarding shared intelligence with state, local, and tribal law enforcement.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For expenses for border security fencing, infrastructure, and technology, [400,000,000] **\$327,099,000** to remain available until September 30, [2014] **2015**.[: Provided, That, of the total amount made available under this heading, \$60,000,000 shall not be obligated until the Committees on Appropriations of the Senate and House of Representatives receive a detailed plan for expenditures, prepared by the Commissioner of U.S. Customs and Border Protection, and submitted not later than 90 days after the date of enacted of this Act, for a program to establish and maintain a security barrier along the borders of the United States of fencing and vehicle barriers, where practicable, and of other forms of tactical infrastructure and technology: Provided further, That the Commissioner of U.S. Customs and Border Protection shall submit to the Committees on Appropriations of the Senate and the House of Representatives, at the time that the President's budget is submitted each year under section 1105(a) of title 31, United States Code, a multi-year investment and management plan for the Border Security Fencing, Infrastructure, and Technology account, that includes for each tactical infrastructure and technology deployment: (1) the funding level in that budget and projected funding levels for each of the next 3 fiscal years, including a description of the purpose of such funds; (2) the deployment plan, by border segment, that aligns each deployment to mission requirements by defining existing capabilities, identifying known capability gaps between such existing capabilities and stated mission requirements related to achieving operational control, and explaining how each tactical infrastructure or technology deployment will address such known capability gaps; and (3) a current program baseline that:(A) notes and explains any deviations in cost, performance parameters, schedules, or estimated date of completion from the most recent acquisition program baseline approved by the Department of Homeland Security Acquisition Review Border;(B) includes a phase-out and life-cycle recapitalization schedule delineated by fiscal year for existing and new tactical infrastructure and technology deployments that each deployment is intended to replace or recapitalize; and (C) includes qualitative performance metrics that assess the effectiveness of new and existing tactical infrastructure and technology deployments and inform the next multi-year investment and management plan related to achieving operational control of the Northern and Southwest borders of the United States.] (Department of Homeland Security Appropriations Act, 2012.)



## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and Technology:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	205	205	446,864
<b>FY 2012 Enacted Budget Authority</b>	205	205	400,000
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer to Further Consolidate CBP Rent Program	-	-	(174)
Transfer to Realign OTIA Funding: TI	(24)	(24)	(3,247)
Transfers to Realign OTIA funding to S&E	(181)	(181)	(23,627)
<b>Total, Transfers</b>	<b>(205)</b>	<b>(205)</b>	<b>(27,048)</b>
<b>Increases</b>	-	-	-
Increase to Operations & Maintenance PPA	-	-	5,035
<b>Total, Increases</b>	-	-	<b>5,035</b>
<b>Decreases</b>	-	-	-
Fully non-recur FY 2012 Enacted BSFIT Development & Deployment	-	-	(192,653)
<b>Total, Decreases</b>	-	-	<b>(192,653)</b>
<b>Total, Adjustments-to-Base</b>	<b>(205)</b>	<b>(205)</b>	<b>(214,666)</b>
<b>FY 2013 Current Services</b>	-	-	<b>185,334</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Enhancement for Integrated Fixed Towers	-	-	91,765
Enhancement for Northern Border	-	-	10,000
Enhancement for Tactical Communications	-	-	40,000
<b>Total, Increases</b>	-	-	<b>141,765</b>
<b>Total, Program Changes</b>	-	-	<b>141,765</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>327,099</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(205)</b>	<b>(205)</b>	<b>(72,901)</b>

1. FY 2011 actuals includes funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)
2. FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$7.0 million, pursuant to P.L. 112-74.

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and Technology:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	205	205	446,864
<b>FY 2012 Enacted Budget Authority</b>	205	205	400,000
<b>Adjustments-to-Base</b>	-	-	-
Transfers	(205)	(205)	(27,048)
Increases	-	-	5,035
Decreases	-	-	(192,653)
<b>Total, Adjustments-to-Base</b>	(205)	(205)	(214,666)
<b>FY 2013 Current Services</b>	-	-	185,334
<b>Program Changes</b>	-	-	-
Increases	-	-	141,765
<b>Total, Program Changes</b>	-	-	141,765
<b>FY 2013 Requested Budget Authority</b>	-	-	327,099
<b>FY 2012 to FY 2013 Total Change</b>	(205)	(205)	(72,901)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Program Management	205	205	54,375	(205)	(205)	(54,375)	-	-	-	-	-	-	(205)	(205)	(54,375)
Operations and Maintenance	-	-	133,248	-	-	5,035	-	-	-	-	-	138,283	-	-	5,035
Development and Deployment	-	-	212,377	-	-	(165,326)	-	-	141,765	-	-	188,816	-	-	(23,561)
<b>Total</b>	<b>205</b>	<b>205</b>	<b>400,000</b>	<b>(205)</b>	<b>(205)</b>	<b>(214,666)</b>	<b>-</b>	<b>-</b>	<b>141,765</b>	<b>-</b>	<b>-</b>	<b>327,099</b>	<b>(205)</b>	<b>(205)</b>	<b>(72,901)</b>

1. FY 2011 actuals includes funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)
2. FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$7.0 million, pursuant to P.L. 112-74.

**D. Summary of Reimbursable Resources**

Not Applicable

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	22,329	26,142	100	(26,042)
11.3 Other than full-time permanent	23	6	-	(6)
11.5 Other personnel compensation	1	-	-	-
11.6 Pay Diff (Sun/Night)	344	321	-	(321)
11.7 Military personnel/Awards	280	77	-	(77)
11.8 Special Service Pay	378	104	-	(104)
12.1 Benefits	5,482	8,193	-	(8,193)
<b>Total, Personnel and Other Compensation Benefits</b>	<b>28,837</b>	<b>34,843</b>	<b>100</b>	<b>(34,743)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,135	2,153	221	(1,932)
23.1 GSA rent	2	2	-	(2)
23.2 Other rent	882	599	-	(599)
23.3 Communications, utilities, and misc. charges	5,735	5,014	-	(5,014)
25.1 Advisory and assistance services	-	-	24,549	24,549
25.2 Other services	190,960	314,558	139,934	(174,624)
25.3 Purchases from Gov't accts.	9,647	5,737	2,407	(3,330)
25.4 O&M of facilities	59,646	68,383	7,106	(61,277)
25.5 R&D of contracts	90	36	-	(36)
25.7 Operation and maintenance of equipment	1,095	1,557	1,159	(398)
26.0 Supplies and materials	2,833	1,419	166	(1,253)
31.0 Equipment	109,948	303,081	139,991	(163,090)
32.0 Land & structures	35,054	45,408	11,466	(33,942)
<b>Total, Other Object Classes</b>	<b>418,027</b>	<b>747,947</b>	<b>326,999</b>	<b>(420,948)</b>
<b>Total, Direct Obligations</b>	<b>446,864</b>	<b>782,790</b>	<b>327,099</b>	<b>(455,691)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(382,790)	-	382,790
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(382,790)</b>	<b>-</b>	<b>382,790</b>
<b>Total Requirements</b>	<b>446,864</b>	<b>400,000</b>	<b>327,099</b>	<b>(72,901)</b>
<b>Full Time Equivalents</b>	<b>205</b>	<b>205</b>	<b>-</b>	<b>(205)</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Border Security Fencing, Infrastructure, and Technology:  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	4	4	-	(4)
GS-15	35	35	-	(35)
GS-14	67	67	-	(67)
GS-13	50	50	-	(50)
GS-12	24	24	-	(24)
GS-11	19	19	-	(19)
GS-9	3	3	-	(3)
GS-8	3	3	-	(3)
<b>Total Permanent Positions</b>	<b>205</b>	<b>205</b>	-	<b>(205)</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	165	165	-	(165)
U.S. Field	40	40	-	(40)
<b>Total, Border Security Fencing, Infrastructure, and Technology:</b>	<b>205</b>	<b>205</b>	-	<b>(205)</b>
<b>Full Time Equivalents</b>	<b>205</b>	<b>205</b>	-	<b>(205)</b>
Average ES Salary	160,898	160,898	-	(160,898)
Average GS Salary	112,005	112,005	-	(112,005)
Average Grade	13	13	-	(13)

## **G. Capital Investment and Construction Initiative Listing**

Not Applicable

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Development and Deployment**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	100	100
11.6 Pay Diff (Sun/Night)	179	276	-	(276)
12.1 Benefits	16	25	-	(25)
<b>Total, Personnel and Compensation Benefits</b>	<b>195</b>	<b>301</b>	<b>100</b>	<b>(201)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,208	1,863	221	(1,642)
23.1 GSA rent	1	2	-	(2)
23.2 Other rent	214	330	-	(330)
23.3 Communications, utilities, and misc. charges	2,389	3,684	-	(3,684)
25.1 Advisory and assistance services	-	-	24,549	24,549
25.2 Other services	75,575	171,380	36,930	(134,450)
25.3 Purchases from Gov't accts.	1,848	2,850	2,407	(443)
25.4 O&M of facilities	12,723	49,843	7,106	(42,737)
25.7 Operation and maintenance of equipment	981	1,513	1,159	(354)
26.0 Supplies and materials	256	395	166	(229)
31.0 Equipment	70,317	228,738	104,712	(124,026)
32.0 Land & structures	27,467	42,354	11,466	(30,888)
<b>Total, Other Object Classes</b>	<b>192,979</b>	<b>502,952</b>	<b>188,716</b>	<b>(314,236)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(290,876)	-	290,876
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(290,876)</b>	-	<b>290,876</b>
<b>Total Requirements</b>	<b>193,174</b>	<b>212,377</b>	<b>188,816</b>	<b>(23,561)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Development and Deployment Mission Statement

Development and Deployment provides for surveillance and detection which consist of sensor systems, such as Unattended Ground Sensors (UGS), radars, and day/night cameras to improve CBP operational forces ability to detect, identify, classify, and track illegal entries and items of interest (IOIs) across all border environments. These sensor systems are deployed on fixed and relocatable towers, mobile platforms (wheeled vehicles and aircraft), and on the ground. Examples include newly developed systems, such as SBI-net Block 1, and existing systems, such as the Remote Video Surveillance System and Mobile Surveillance System. Development and Deployment also provides for Command, Control, Communications, and Intelligence (C3I) which includes sensor control and data processing, tracking, identification and classification, friendly (blue) force tracking, enhanced intelligence collection and analysis/dissemination tools, and shared situational awareness, i.e., Common Operating Picture (COP). This integrated network relies on upgraded and interoperable digital field communications, improved Command and Control (C2) facilities, an enhanced wireless communications network such as P-25 Tactical Communications, and network and security operations. Development and Deployment

funds Tactical Infrastructure (TI), built to create persistent impedance against illicit cross-border activity. TI includes pedestrian and vehicle fencing, roads, bridges, brush removal, and lighting installed in relevant areas to support border enforcement activities. Finally, Development and Deployment provides for related activities, such as technical support, systems engineering services, prime contractor program management and systems engineering, advanced technology development, Operational Test & Evaluation support, and environmental planning, assessment and mitigation activities associated with fielding technology and tactical infrastructure.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	100	100
11.6 Pay Diff (Sun/Night)	179	276	-	(276)
12.1 Benefits	16	25	-	(25)
<b>Total, Salaries &amp; Benefits</b>	<b>195</b>	<b>301</b>	<b>100</b>	<b>(201)</b>

In FY 2013, an increase of \$100,000 is an adjustment in Program Management PPA to realign to the D&D PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,208</b>	<b>\$1,863</b>	<b>\$221</b>	<b>-\$1,642</b>

In FY 2013, an increase of \$171,000 is an enhancement for Tactical communication. In FY 2013, an increase of \$50,000 is an enhancement for Norther Border technology.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1</b>	<b>\$2</b>	<b>0</b>	<b>-\$2</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$214</b>	<b>\$330</b>	<b>0</b>	<b>-\$330</b>

In FY 2013, a decrease of -\$42,000 is an object class realignment. In FY 2013, an increase of \$42,000 is an enhancement for Tactical communication.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$2,389</b>	<b>\$3,684</b>	<b>0</b>	<b>-\$3,684</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>0</b>	<b>0</b>	<b>\$24,549</b>	<b>\$24,549</b>

In FY 2013, an increase of \$24,507,000 is an enhancement for Tactical communication. In FY 2013, an increase of \$42,000 is an object class realignment.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$75,575	\$171,380	\$36,930	-\$134,450

In FY 2013, a decrease of -\$61,844,000 is to fully non-recur FY 2012 Enacted BSFIT Development & Deployment. In FY 2013, an increase of \$17,593,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, an increase of \$18,387,000 is an enhancement for Integrated Fix Towers In FY 2013, an increase of \$950,000 is an enhancement for Norther Border technology.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,848	\$2,850	\$2,407	-\$443

In FY 2013, an increase of \$2,407,000 is an adjustment in Program Management PPA to realign to the D&D PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$12,723	\$49,843	\$7,106	-\$42,737

In FY 2013, a decrease of -\$30,224,000 is to fully non-recur FY 2012 Enacted BSFIT Development & Deployment. In FY 2013, an increase of \$7,106,000 is an adjustment in Program Management PPA to realign to the D&D PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$981	\$1,513	\$1,159	-\$354

In FY 2013, an increase of \$1,152,000 is an enhancement for Tactical communication. In FY 2013, an increase of \$7,000 is an adjustment in Program Management PPA to realign to the D&D PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$256	\$395	\$166	-\$229

In FY 2013, an increase of \$166,000 is an enhancement for Tactical communication.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$70,317	\$228,738	\$104,712	-\$124,026

In FY 2013, an increase of \$114,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, an increase of \$2,496,000 is an enhancement for Tactical communication. In FY 2013, an increase of \$73,378,000 is an enhancement for Integrated Fix Towers In FY 2013, an increase of \$9,000,000 is an enhancement for Norther Border technology.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$27,467	\$42,354	\$11,466	-\$30,888

In FY 2013, an increase of \$11,466,000 is an enhancement for Tactical communication.

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Operations and Maintenance**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	276	111	-	(111)
23.1 GSA rent	1	-	-	-
23.2 Other rent	668	269	-	(269)
23.3 Communications, utilities, and misc. charges	3,214	1,294	-	(1,294)
25.2 Other services	105,691	140,506	103,004	(37,502)
25.3 Purchases from Gov't accts.	5,813	2,340	-	(2,340)
25.4 O&M of facilities	44,204	17,791	-	(17,791)
25.5 R&D of contracts	90	36	-	(36)
25.7 Operation and maintenance of equipment	102	41	-	(41)
26.0 Supplies and materials	2,466	993	-	(993)
31.0 Equipment	3,255	36,589	35,279	(1,310)
32.0 Land & structures	7,587	3,054	-	(3,054)
<b>Total, Other Object Classes</b>	<b>173,367</b>	<b>203,024</b>	<b>138,283</b>	<b>(64,741)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(69,776)	-	69,776
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(69,776)</b>	-	<b>69,776</b>
<b>Total Requirements</b>	<b>173,367</b>	<b>133,248</b>	<b>138,283</b>	<b>5,035</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Operations and Maintenance Mission Statement**

Operations and Maintenance funds provide logistics support, supply, maintenance, and training services to operate and maintain all SBInet deployments and legacy surveillance and communication systems. A combination of government and contractor logistics activities will provide maintenance management, system support analysis, call center operations, asset management, critical property, spare parts storage, management and inventory records, field services, and training. In addition, O&M provides maintenance and repair (M&R) services for all types of TI, both legacy and newly constructed, to include maintenance and repair of fences, gates, roads, bridges, drainage structures, grates, lighting, and electrical systems; vegetation management and control; and debris removal. It also includes the development and implementation of a tracking system to capture and store O&M data so that future maintenance work can be better scoped and planned.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$276</b>	<b>\$111</b>	<b>0</b>	<b>-\$111</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$668	\$269	0	-\$269

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$3,214	\$1,294	0	-\$1,294

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$105,691	\$140,506	\$103,004	-\$37,502

In FY 2013, an increase of \$5,035,000 is for an increase to Operations & Maintenance PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$5,813	\$2,340	0	-\$2,340

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$44,204	\$17,791	0	-\$17,791

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$102	\$41	0	-\$41

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$2,466	\$993	0	-\$993

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$3,255	\$36,589	\$35,279	-\$1,310

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$7,587	\$3,054	0	-\$3,054

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Border Security Fencing, Infrastructure, and Technology:**  
**Program Management**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	22,329	26,142	-	(26,142)
11.3 Other than full-time permanent	23	6	-	(6)
11.5 Other personnel compensation	1	-	-	-
11.6 Pay Diff (Sun/Night)	165	45	-	(45)
11.7 Military personnel/Awards	280	77	-	(77)
11.8 Special Service Pay	378	104	-	(104)
12.1 Benefits	5,466	8,168	-	(8,168)
<b>Total, Personnel and Compensation Benefits</b>	<b>28,642</b>	<b>34,542</b>	-	<b>(34,542)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	651	179	-	(179)
23.3 Communications, utilities, and misc. charges	132	36	-	(36)
25.2 Other services	9,694	2,672	-	(2,672)
25.3 Purchases from Gov't accts.	1,986	547	-	(547)
25.4 O&M of facilities	2,719	749	-	(749)
25.7 Operation and maintenance of equipment	12	3	-	(3)
26.0 Supplies and materials	111	31	-	(31)
31.0 Equipment	36,376	37,754	-	(37,754)
<b>Total, Other Object Classes</b>	<b>51,681</b>	<b>41,971</b>	-	<b>(41,971)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(22,138)	-	22,138
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(22,138)</b>	-	<b>22,138</b>
<b>Total Requirements</b>	<b>80,323</b>	<b>54,375</b>	-	<b>(54,375)</b>
<b>Full Time Equivalents</b>	<b>205</b>	<b>205</b>	-	<b>(205)</b>

**Program Management Mission Statement**

Program Management funds provide for the necessary government and support personnel, tools, planning, processes, procedures, and resource matrices in an integrated and effective manner to enable all other program objectives to be successfully implemented, while ensuring alignment across the program.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	22,329	26,142	-	(26,142)
11.3 Other than full-time permanent	23	6	-	(6)
11.5 Other personnel compensation	1	-	-	-
11.6 Pay Diff (Sun/Night)	165	45	-	(45)

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	22,329	26,142	-	(26,142)
11.7 Military personnel/Awards	280	77	-	(77)
11.8 Special Service Pay	378	104	-	(104)
12.1 Benefits	5,466	8,168	-	(8,168)
<b>Total, Salaries &amp; Benefits</b>	<b>28,642</b>	<b>34,542</b>	-	<b>(34,542)</b>

In FY 2013, a decrease of -\$100,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, a decrease of -\$23,988,000 is a transfer to realign OTIA funding to S&E In FY 2013, a decrease of -\$3,247,000 is a transfer to realign OTIA tactical infrastructure funding. In FY 2013, an increase of \$685,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$651</b>	<b>\$179</b>	<b>0</b>	<b>-\$179</b>

In FY 2013, a decrease of -\$323,000 is a transfer to realign OTIA funding to S&E In FY 2013, an increase of \$323,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$132</b>	<b>\$36</b>	<b>0</b>	<b>-\$36</b>

In FY 2013, a decrease of -\$5,000 is a transfer to realign OTIA funding to S&E In FY 2013, a decrease of -\$92,000 is a transfer to further consolidate the CBP rent program. In FY 2013, an increase of \$97,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$9,694</b>	<b>\$2,672</b>	<b>0</b>	<b>-\$2,672</b>

In FY 2013, a decrease of -\$17,593,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, an increase of \$16,904,000 is an object class realignment. In FY 2013, an increase of \$689,000 is a transfer to realign OTIA funding to S&E

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$1,986</b>	<b>\$547</b>	<b>0</b>	<b>-\$547</b>

In FY 2013, a decrease of -\$2,407,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, an increase of \$2,407,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.4 O&amp;M of facilities</b>	<b>\$2,719</b>	<b>\$749</b>	<b>0</b>	<b>-\$749</b>

In FY 2013, a decrease of -\$7,106,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, an increase of \$7,106,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$12	\$3	0	-\$3

In FY 2013, a decrease of -\$7,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, an increase of \$7,000 is an object class realignment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$111	\$31	0	-\$31

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$36,376	\$37,754	0	-\$37,754

In FY 2013, a decrease of -\$114,000 is an adjustment in Program Management PPA to realign to the D&D PPA. In FY 2013, a decrease of -\$27,611,000 is an object class realignment.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>226</b>	<b>205</b>	<b>205</b>
<b>Increases</b>			
<b>Decreases</b>			
Transfers to Realign OTIA funding to S&E	-	-	(181)
Transfer to Realign OTIA Funding: TI	-	-	(24)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(205)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>226</b>	<b>205</b>	<b>-</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>(205)</b>



**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

Not Applicable

**K. DHS Balanced Workforce Strategy**

Not Applicable

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
Automation Modernization*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Customs and Border Protection Automation Modernization**

### **I. Appropriation Overview**

#### **A. Mission Statement for Automation Modernization**

U.S. Customs and Border Protection's (CBP) core mission of securing our nation's borders, while facilitating the flow of legitimate travel and trade is complex and constantly evolving. As a result, sufficient maintenance and modernization of CBP's automated systems is critical to meet our organizational mandates and to achieve the 24x7 availability of critical functionality to CBP officers and agents. Modernization efforts, in particular, often increase the efficiency of CBP's workforce as they have better and faster access to data and services that help frontline personnel to protect the nation's borders and facilitate the flow of cargo and people. CBP's automation framework comprises two large information technology structures: the Automated Commercial Environment (ACE) and the Critical Operations Protection and Processing Support (COPPS). ACE and COPPS are funded by the Automation Modernization Appropriation and directly supports Line of Business (LOBs) 2, 3, and 5. ACE funding supports the Cargo and Conveyance subprogram under LOB 2, Securing and Facilitating Flows of Cargo. The COPPS PPA supports two subprograms and their associated LOBs: the Inbound Inspection subprogram under LOB 3, Securing and Facilitating Flows of People and the Management subprogram under LOB 5, Enterprise Business Services. Modernizing these structures will help increase the growth, collaboration, and professionalism of all CBP staff, as well as help to increase domain awareness.

ACE represents the most ambitious automation effort CBP has undertaken to date. It has been developed and deployed in phases that have already yielded tangible benefits to CBP, other government agencies and the trade community. As ACE functionality is introduced, the associated segments of its predecessor Automated Commercial System (ACS) will be replaced. Given the wide-ranging functions that ACE will automate, future phases will be designed to provide a useful segment of capability. As each segment is completed, users will have more robust, easy-to-use and accessible tools to aid in securing U.S. borders, facilitating legitimate trade, and targeting illicit goods.

COPPS funding supports COPPS IT infrastructure, Terrorism Prevention Systems Enhancement (TPSE), and TECS Modernization; all three efforts collectively support the ongoing CBP and DHS missions to defend and protect the Nation. CBP manages the operational availability of its infrastructure via COPPS, which provides nearly all the CBP information technology (IT) infrastructure necessary to operate and maintain mission-critical IT systems required to secure the borders while facilitating legitimate trade and travel. CBP TECS Modernization Program is modernizing TECS, a key system for border enforcement and sharing of information concerning people who are inadmissible or may pose a threat to the United States. These capabilities will be modernized through the TECS Modernization multi-year project. TECS Modernization will improve and sustain DHS and other Federal agency screening capabilities into the future and support new

screening requirements and functionalities. TPSE focuses on enhancing our system infrastructure and the supporting enterprise services that enhance our continuity of operations.

## **B. Budget Activities**

### **Automated Commercial Environment (ACE)/ International Trade Data System (ITDS)**

ACE is an initiative designed to reengineer trade business processes and modernize the IT systems that support them. Initially, ACE was created in response to the Title VI of the North American Free Trade Agreement Implementation Act, (P.L. 103-182; commonly referred to as the Modernization Act (Mod Act) of December 1993), to focus on import processing. Later, other elements of customs modernization, such as enforcement, were included. An overarching goal of the Mod Act was to place greater responsibility on the trade community to comply with import requirements.

The terrorist attacks of September 11, 2001, changed ACE's focus from a multi-year modernization effort to an initiative that enhances national border security and expedites lawful trade. This will allow for unprecedented integration of information and communication between CBP, other participating government agencies (PGAs), and the trade community. This change in direction incorporated International Trade Data System (ITDS) into the ACE initiative. ITDS assists PGAs in making use of ACE to support their border security, product safety, and international trade missions. Specifically, ITDS is the program that assists the PGAs to design, develop, and integrate PGA requirements into ACE Cargo Release functionality. Additionally, ITDS provides guidance on the legal implications of PGA integration into ACE and serves as a forum for agency issues. Through ITDS, ACE will provide a "single window" for filing and facilitating the exchange of trade and transportation information to improve business operations and facilitate lawful trade. A total of 46 government agencies are currently participating in the ACE/ITDS initiative.

CBP has aligned ACE with the DHS 2010 Quadrennial Homeland Security Review Mission 2: Securing and Managing our Borders. ACE will help reduce our Nation's vulnerability to changing threats without diminishing economic security, by providing threat awareness, prevention, and protection for the homeland. Specifically, ACE will provide DHS personnel with more automated up-to-date tools and information to decide, before a shipment reaches U.S. borders, what cargo should be targeted because it poses a potential risk and what cargo should be expedited because it complies with U.S. laws. ACE also supports the revenue collection activity under Mission 6, Providing Essential Support to National and Economic Activity.

### **Critical Operations Protection and Processing Support**

COPPS funding supports COPPS IT infrastructure, TECS modernization, and TPSE. COPPS provides nearly all of CBP's IT infrastructure to operate and maintain mission-critical IT systems requisite to securing borders while facilitating legitimate trade and travel.

TECS Modernization is a multi-year project that will enhance CBP's mission. It provides critical border enforcement and POE processing capabilities and is a key tool for the sharing of data information for consideration of benefits and regarding inadmissible individuals. TPSE focuses on enhancing our system infrastructure and the supporting enterprise services that enhance our continuity

of operations. The TPSE will enable 24x7x365 systems operational availability to meet the processing and storage/backup requirements for passenger screening while enhancing the existing systems.

### **C. Budget Request Summary**

In FY 2013, CBP requests \$327.526 million 63 positions and 63 full-time equivalents (FTEs) for Automation Modernization. This request includes an adjustment to base decrease of \$-11.749 million and a program increase of \$5.0 million.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Automation Modernization:**  
**Summary of FY 2013 Budget Estimates by Program Project Activity**  
  
**FY 2013 Requested Budget Authority**  
**(Dollars in Thousands)**

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
ACE ITDS	62	62	193,749	62	62	140,000	62	62	140,794	-	-	794	-	-	-	-	-	794
Critical Operations Protection and Processing Support	1	1	197,603	1	1	194,275	1	1	186,732	-	-	(7,543)	-	-	5,000	-	-	(12,543)
<b>Total, Automation modernization:</b>	<b>63</b>	<b>63</b>	<b>391,352</b>	<b>63</b>	<b>63</b>	<b>334,275</b>	<b>63</b>	<b>63</b>	<b>327,526</b>	-	-	<b>(6,749)</b>	-	-	<b>5,000</b>	-	-	<b>(11,749)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>63</b>	<b>63</b>	<b>391,352</b>	<b>63</b>	<b>63</b>	<b>334,275</b>	<b>63</b>	<b>63</b>	<b>327,526</b>	-	-	<b>(6,749)</b>	-	-	<b>5,000</b>	-	-	<b>(11,749)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>63</b>	<b>63</b>	<b>391,352</b>	<b>63</b>	<b>63</b>	<b>334,275</b>	<b>63</b>	<b>63</b>	<b>327,526</b>	-	-	<b>(6,749)</b>	-	-	<b>5,000</b>	-	-	<b>(11,749)</b>

\* FY 2012 actuals include funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)



### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
ACE ITDS  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: ACE ITDS**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>62</b>	<b>62</b>	<b>193,749</b>
<b>2012 Enacted Budget Authority</b>	<b>62</b>	<b>62</b>	<b>140,000</b>
2013 Adjustments-to-Base	-	-	794
<b>2013 Current Services</b>	<b>62</b>	<b>62</b>	<b>140,794</b>
<b>2013 Total Requested Budget Authority</b>	<b>62</b>	<b>62</b>	<b>140,794</b>
Total Change 2012 to 2013	-	-	794

CBP requests \$ 140.794 million for ACE/ITDS. This request includes:

- An increase of \$32,000 for the FY 2013 Pay Increase
- A decrease of -\$7.0 million for transfer of funding from ACE PPA to Automated Targeting Systems PPA
- An increase of \$7.762 million to maintain current operational capability

#### **CURRENT SERVICES PROGRAM DESCRIPTION**

The Automated Commercial Environment/ International Trade Data System Program, Project, Activity (PPA) supports the Cargo and Conveyance subprogram under Line of Business 2, Securing and Facilitating Flows of Cargo. ACE is a CBP program designed to reengineer agency business processes and modernize the IT systems to support them. The goal of ACE is to allow and assist importers to institute reasonable care in fulfilling requirements as outlined in the MOD Act, and to facilitate efficiencies in processing for both federal agencies and the trade community.

ACE benefits include:

- Enhanced cargo control business processes for imports and exports;
- Reduction of costly labor and paper intensive activities;
- Reporting of trade data to multiple agencies via a single, secure, Internet based portal;
- Enhanced revenue collection capability;
- Ability to view and manage trade activity from a national account perspective;
- Provision of, through ITDS, a “single window” for the collection and dissemination of trade data.

In addition, ACE allows other Government agencies to better fulfill the mandate set forth under the *Security and Accountability for Every Port (SAFE) Act of 2006* (P.L. 109-347), which requires agencies with licensing and admissibility requirements to participate in the ITDS. ITDS is the mechanism for coordinating intergovernmental involvement with ACE. Approximately 46 government agencies are currently participating in the ACE/ITDS initiative. Once fully utilized, ITDS will provide unprecedented interagency coordination and information sharing, ultimately making ACE the “single window” for the collection and dissemination of trade data. This capability reduces Government and private sector costs through the elimination of unnecessary paperwork while enabling electronic processing of trade documentation.

**Capabilities Delivered:**

To date, ACE has deployed 12 drops or phases of functionality, which are strengthening national security, facilitating the flow of legitimate trade, and providing industry with new tools that save them money and help them comply with U.S. laws.

Delivered Capabilities – 12 Successful Releases ACE Foundation, Account Creation, Periodic Payment, e-Manifest: Trucks, Screening Foundation, Targeting Framework, Advanced Targeting, Enhanced Accounts, Reference Data, Initial Entry Summary Types, Remaining Entry Summary Types (Anti-Dumping and Countervailing Duties (AD/CVD)), Post Summary Corrections (PSC) and Additional Functionality	
<b>Anti-Terrorism/Import Safety</b>	<b>Trade Facilitation</b>
Targets new information	Enables quicker processing
Links information on all entities	Fosters efficiency in the primary booth
Sends enforcement alerts	Provides trade partner savings
Uses business rules-based engine	Expands Participating Government Agency involvement
Allows end users to define and maintain rules	Provides trade community access to import data
Provides access to external intelligence data sources	Increases communication between CBP and trade partners
Increases efficiency between CBP and PGAs	Eliminates filing of routine paper forms
Provides enhanced targeting of all entry summaries via the Automated Targeting System (ATS)	Enables approximately 99 percent of entry summaries to be filed via ACE
Focused targeting increases referrals to secondary	Provides new ACE portal and Electronic Data Interchange (EDI) capabilities specific to AD/CVD entries and AD/CVD case management

**ACE Secure Data Portal**

This capability gives CBP and the trade community an account-based view of data, enabling companies to proactively monitor compliance issues and gives CBP a broader, national view of trade activities. Overall, there are more than 19,000 unique ACE portal accounts.

**Periodic Monthly Statement**

This capability allows importers and brokers with ACE accounts to centralize payment processing and to utilize Periodic Monthly Statement and payment capabilities through Automated Clearinghouse Credit and Debit. It also provides an initial customer account-based subsidiary ledger to interface with the CBP general ledger, for financial transaction processing and an expanded account view into account activity logs and exam findings. Other benefits include cash flow benefits through payment of duties and fees on a monthly basis, online tracking of trade activities through customized account views, and access to more than 100 customizable reports that can be used to track compliance and

monitor daily operations. On average, 55 percent of duties and fees are paid via Periodic Monthly Statement, representing approximately \$1.5 billion dollars per month.

### **The e-Manifest: Trucks**

This capability includes an automated truck manifest system that expedites information processing and brings the ACE portal interface to CBP officers. This enhanced security facilitates the clearance of trucks entering the country by providing CBP officers with access to shipment, crew, and conveyance data before the truck reaches the border. E-Manifest: Trucks enables targeting of illicit goods that require scrutiny and allows the free flow of legitimate trade. This capability is now operational at all land border Ports of Entry (POE). ACE has reduced truck processing times by more than 30 percent, enabling CBP officers to dedicate more time to border security activities.

### **The Screening and Targeting**

This capability is comprised of Targeting Framework and Advanced Targeting. The Screening and Targeting performs automated screening and targeting of inbound and outbound cargo across the borders of the United States and provides the framework for all U.S. Government agencies involved in security, economic, and safety missions to leverage advanced risk assessment information and automated targeting systems. This framework provides a modernized system with National Targeting Center analyst workflow, case management, and single sign-on capability. Through the Targeting Framework, the National Targeting Center has the ability to initiate activities, foster collaboration among analysts, and access past activity logs and external data sources for additional intelligence.

### **Entry Summary, Accounts, and Revenue (ESAR): Master Data and Enhanced Accounts (A1)**

These capabilities provide ACE access to virtually every entity doing business with CBP, and enhanced ACE Secure Data Portal account management features that have helped lay the foundation for a future integrated, account-based financial and entry summary processing system in ACE.

### **Initial Entry Summary Processing**

This functionality allows the trade community and CBP to file and process the most common entry summary types via ACE. These entry summaries represent nearly 99 percent of the annual volume of entry summaries that could be filed via ACE. The new ACE entry summary processing capabilities allow ACE Secure Data Portal account holders the option to receive and respond to CBP forms electronically through the ACE portal. Electronic responses are stored with associated entry summaries, enabling sharing of information within CBP nationwide. Modernizing the entry summary process enhances uniformity and facilitates compliance for those filing for entry. Entry summary processing for remaining entry types will be added in the future. In addition to the primary benefits of the capabilities above, actual benefits realized by stakeholders such as PGAs, CBP, and the trade community through ACE include the following:

- The Food Safety Inspection Service (FSIS) can act faster to detect, detain, and remove from commerce potentially dangerous agricultural products. Between FY 2005 and FY 2006, the amount of ineligible product detected, detained, and removed from commerce increased from 97,000 pounds to 2.87 million pounds. Seizures continued in FY 2007 with 2.04 million pounds; in FY 2008 with 3.69 million pounds; and in FY 2009 with 1.87 million pounds of ineligible product.

- Agencies are now able to administer and maintain real-time screening and targeting systems that help CBP officers and analysts secure the supply chain and support CBP's layered defense strategy for inbound and outbound cargo.
- ACE facilitates the collection and analysis of information, integrating that information into larger analytic efforts, as well as developing and evaluating targeting rules that are intelligence-based and constantly refreshed.
- ACE offers periodic payment capabilities whereby the trade community can wait until the 15th working day of the next month to pay for shipments released during the previous month, which can result in significant cash flow benefits. CBP currently collects approximately \$1.5 billion per month via the ACE system.
- ACE deployed the first automation of the truck manifest, e-Manifest, Truck (Release 4), that has reduced border processing time of truck cargo by more than 30 percent compared to paper-based manifests (based on a national average of select land border POEs).
- ACE offers targeted reports to support in-house audits, discrepancy reports to identify systemic errors and entry summary reports to provide insight into cargo entries under review by CBP.
- The ACE Secure Data Portal provides trade users with near real-time access to their CBP transactional data.
- ACE portal users can access approximately 390 standard and customizable reports on company-specific compliance, transaction, and financial data from both ACE and the ACS.
- ACE provides the collection of additional trade information to segregate high risk cargo while facilitating lawful entry of legitimate goods.

### **Entry Summary Types (Anti-Dumping and Countervailing Duties (AD/CVD))**

This functionality adds AD/CVD entries summaries to ACE. In addition, ACE became the system of record for AD/CVD case management. These cases are linked to filers' accounts, so it is a more efficient way to keep track of AD/CVD entries and associated activity with these entries.

This release of functionality brought CBP team reviews of entry summaries to ACE, which allows:

- Electronic tracking of entry summary reviews.
- Electronic correspondence to the Trade to improve the speed at which reviews can be completed and revenue collected.
- Enhanced targeting capabilities in the post entry environment.

### **Post Summary Corrections (PSC) and Additional Functionality capabilities include:**

- Electronic submission by the Trade of changes to entry summaries.
- Consistent enforcement of changes trade filers make to entry summaries.
- Revenue collection is more effective.
- Paper-filing of Post-Entry Amendments are reduced.
- All PSC changes to entry summaries are connected to the filer's account in ACE.

## **ACE Adjustments to Base**

The transfer of \$7.0 million of funding from the ACE PPA will allow CBP to consolidate all targeting funding within the Systems for Targeting PPA. This PPA supports activities which give CBP the ability to achieve its critical border security objectives and maintain the flow of lawful commerce by identifying high-risk travelers and goods for inspection while allowing law-abiding travelers and commerce to move without unnecessary delay.

The increase of \$7.8 million will allow CBP to maintain current operations and maintenance (O&M) requirements for all delivered ACE/ITDS functionality includes maintaining system hardware, software, servers, troubleshooting, outreach to stakeholders, training users how to use the system, end-user support, and program management. ACE/ITDS is scheduled to deploy additional functionality in March 2012. This release of functionality modernizes Rail and Sea manifest as well as the In-Bond process. Deploying this additional functionality will result in increased O&M costs for the first year post-deployment. After initial technical bugs and defects are corrected, the O&M costs will decrease in FY 2014. This ongoing support prevents disruptions in the flow of cargo at the borders.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
Critical Operations Protection and Processing Support  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Critical Operations Protection and Processing Support**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1</b>	<b>1</b>	<b>197,603</b>
<b>2012 Enacted Budget Authority</b>	<b>1</b>	<b>1</b>	<b>194,275</b>
2013 Adjustments-to-Base	-	-	(12,543)
<b>2013 Current Services</b>	<b>1</b>	<b>1</b>	<b>181,732</b>
2013 Program Change	-	-	5,000
<b>2013 Total Requested Budget Authority</b>	<b>1</b>	<b>1</b>	<b>186,732</b>
Total Change 2012 to 2013	-	-	(7,543)

CBP requests \$186,732,000 million for COPPS. The request includes:

- A decrease of -\$12.543 million for a DHS Management Efficiency regarding IT Infrastructure
- An increase of \$5.0 million for an enhancement for TECS Modernization

**CURRENT SERVICES PROGRAM DESCRIPTION**

The COPPS PPA supports two subprograms and their associated LOBs: the Inbound Inspection subprogram under LOB 3, Securing and Facilitating Flows of People and the Management subprogram under LOB 5, Enterprise Business Services. Funding in the COPPS PPA supports the following three areas:

- COPPS IT infrastructure – COPPS IT infrastructure funding supports the operation and maintenance of a complex network of hardware, software, and data switches and routers that must be in place to transmit screening, targeting, terrorist watch list, and apprehension data from CBP’s mission-critical IT systems to the front line.
- TECS modernization – TECS Modernization is a multi-year project that will enhance CBP’s passenger screening capabilities by developing and deploying a modernized TECS to transition to the CBP common IT infrastructure and to better meet operational needs of CBP officers at our nation’s POEs.
- Terrorism Prevention Systems Enhancement (TPSE) – TPSE will enable 24x7x365 systems operational availability to meet processing and storage/backup requirements for passenger screening.

The following is further description of the three areas funded via the COPPS PPA.

## **COPPS IT Infrastructure**

The IT infrastructure is the data network that supports among other things, the data storage, transmission, and delivery of all vetting/screening data from CBP and/other DHS data centers to CBP's front line. In addition, the IT infrastructure supports the day-to-day requirements of CBP's mission support personnel. The IT infrastructure provides connectivity and data transmission for users within CBP, PGAs, and CBP's trade and travel partners. CBP's IT infrastructure connects users to a vast array of data related to operational areas of passenger and cargo processing, targeting, and border enforcement, as well as mission support areas of finance, human resource, and training. The infrastructure is a complex network of field equipment hardware, software, data routers and switches that exist in each of CBP's 1,200 field locations, and connects to the data center (data storage, retrieval, engineering, network monitoring, etc.) capabilities. The IT infrastructure enables users of CBP applications to connect to CBP's mission critical applications, from CBP and DHS data centers, to access data necessary to conduct the mission of CBP nearly every minute of every day.

As such, it is critical that CBP's IT infrastructure is secure, available, and reliable 24x7x365 to enable CBP officers and agents to make timely decisions and to take appropriate action in protecting our Nation's borders. The network and application systems must also be accessible to meet growing pre-screening requirements in response to daily changing risks and threats, and the growth of international trade and immigration. On a typical day, CBP systems process data from over 1,000,000 inbound passengers, 350,000 passenger vehicles, 60,000 truck, rail, & sea containers, 2,500 aircraft, 550 vessels, and 85,000 merchandise entries – collecting over \$74 million in revenue.

The processing of these passengers, vehicles, trucks, rail, sea, etc. are all dependent on the availability and quick data response from CBP's IT infrastructure to transmit passenger and cargo vetting and screening data to the front-line. CBP's infrastructure provides the rapid accessibility of vetting data so that admissibility decisions can be made by CBP's front line within seconds. Further, pre-departure manifest data from world-wide locations must be received and vetted, providing a board/no-board response, before the departure of international flights destined for the United States. The applications supported by CBP's IT infrastructure allow for a unified border presence and provide for more efficient and effective sharing of information among trade and law enforcement agencies.

The CBP's IT infrastructure also serves a variety of Federal, state, local, and international government agencies. These agencies have varying missions and strategic goals, but collectively their purpose is to minimize threats to the American people. The IT applications and the quick access to data to make admissibility decisions are vital tools that CBP and other federal agencies use to defend our borders.

The COPPS funding provides the majority of funding for on-going necessary operations and maintenance of network services, data center services, Technical Support Desk (help desk), hardware/software and e-mail. Network Services include the hardware, software, and communication services that allow any two computers or other devices to exchange data.

Data Center Services include any facility (room or building) used for equipment or the storage, management, and dissemination of electronic data and information to multiple users. Data Center Operations includes the management and oversight of data center facilities and computer operations activities that support the DHS and CBP's missions. The services provided include Continuity of

Operations and Disaster Recovery planning and execution, conduct change control boards (to validate and document any change made to production systems), manage equipment within the data center, provide email services, ensure efficient system operations, database and information management, operate and report incidents from the Situation Room, and perform duty officer operations (24x7 monitoring of data and operations from one point to another).

Help Desk Services include an information and assistance resource that troubleshoots problems with computers and other information technology products. The Technology Service Desk is the initial single point of contact for reporting system, application, email, LAN, communications and hardware problems for CBP IT worldwide.

Hardware includes backup generators, scanners, hand held computers, a network operations center, LANs, WANs, routers, encryptors, gateways, firewalls, mainframe computers, workstations, file/email/database/application servers, modems, and VAN connections. Software includes application development tools, Operating Systems, Program and Configuration Management tools, Office Automation tools, Section 508 tools, testing tools, LAN/WAN administration tools, and other management tools.

Email Services include the acquisition, deployment and ongoing support for email platform hardware and software. Examples of costs included in email services” are system software (e.g. Microsoft Exchange, Lotus Notes), hardware (servers, workstations, storage – SAN, tape backup), diagnostic tool, troubleshooting tools, antivirus, intrusion detection, and management tools for change, configuration and release management.

Numerous major mission critical systems, applications, and programs depend on the information technology infrastructure to access and transmit data from some 3,600 CBP facilities to the CBP National Data Center (NDC) to perform and execute CBP’s mission of protecting our nation’s borders.

Listed below are some of CBP’s major applications: Automated Commercial Environment (ACE) / International Trade Data System (ITDS);

- Automated Commercial System (ACS);
- TECS;
- Automated Export System(AES);
- Advanced Passenger Information System (APIS) and e-APIS;
- CAOS (Combined Automated Operating System);
- Free and Secure Trade (FAST);
- Seized Asset and Case Tracking System (SEACATS);
- CBP’s Financial and Human Resources Management Systems;
- Port Radiation Identification Detection and Evaluation (PRIDE) system;
- Enterprise Data Warehouse system;
- Border Patrol Enforcement Tracking System 2 (BPETS2);
- Automated Targeting Systems (various ATS environments);
- Container Security Initiative (CSI);
- Secure Freight Initiative (SFI);
- Global Enrollment System/Global Online Enrollment System (GES/GOES);



- Electronic System Travel Authorization (ESTA);
- US Passport;
- Western Hemisphere Travel Initiative (WHTI);
- DHS Secure Flight;
- DHS Router;
- Enterprise Geospatial Information Services (eGIS);
- ENFORCE (E3); and
- Virtual Learning Center (VLC).

These systems directly support CBP's mission. Many of these IT systems are funded by and described under other accounts but could not function without the basic IT infrastructure provided by COPPS.

### **TECS Modernization**

TECS Modernization is also funded within the COPPS PPA. TECS is a key passenger border enforcement system for CBP and DHS, and plays an essential role in the screening of travelers entering the U.S. and in supporting the screening requirements of other federal agencies. Maintaining TECS functionality is critical to CBP's border enforcement mission. The current TECS system is more than 20 years old and uses technology that will be increasingly difficult to support in the future. It is also expensive to maintain and is not easily adapted to meet future operational challenges. The multi-year TECS Modernization project will use an incremental approach with the following projects:

- Secondary Inspection is consolidating and replacing the functionality of three legacy processes for supporting passport control (immigration), baggage control, and agriculture inspections and the ability to view the results of previous secondary inspections. It will also modernize inspection logs, where additional information is documented regarding physical inspection of travelers, vehicles, or their belongings. It also navigates to the adverse actions application. This project will migrate the secondary inspection data from the legacy system to the target databases.
- High Performance Primary Query (HPPQ) will improve the backend processing capabilities to perform person and vehicle searches to better integrate available data within TECS and improve the effectiveness and efficiency of primary inspections. The Advance Passenger Information System (APIS) will also be modernized under this project. This is the first TECS Mod project to initiate the migration of data from the legacy system to the target databases.
- Travel Document and Encounter Data (TDED) will provide improved functionality for querying and/or validating travel documents and encounter data for passengers and conveyances. This project will support the migration of travel document and encounter data from the legacy system to the target databases.
- Lookout Record Data and Services will migrate mainframe-based lookout records to target infrastructure and provide CBP and will support the creation and maintenance of the lookout records. The project will also support internal CBP systems and external agencies with access to lookout records and TECS screening/vetting via services.
- Primary Inspection Processes will complete modernization for existing primary applications (Air, Sea, and Land), transitioning data and processing off of the legacy system and onto the modernization infrastructure and target databases. Business operations will be modernized to support random referral and operational messaging to primary officers (CAOS).

TECS provides critical border enforcement and POE processing capabilities. TECS is a key system for border enforcement and sharing of information about people who are inadmissible or may pose a threat to the security of the United States. CBP is collaborating with U.S. Immigration and Customs Enforcement (ICE) in the development of TECS Modernization to ensure the case management capabilities of the current TECS system are modernized. TECS is the primary lookout record database for all of DHS. TECS currently:

- Provides subject record “watch list” processing for DHS and other agencies. This includes maintenance of lookout records and vetting services against these records with PGAs and international partners;
- Supports primary and secondary inspections for persons and conveyances at the POEs.
- Tracks crossing history for persons and conveyances;
- Receives and processes passenger manifests from carriers.
- Provides screening services for more than 20 PGAs, trusted traveler programs, ESTA, and to support targeting analysis;
- Supports more than 70,000 users from over 20 federal agencies responsible for screening to determine benefits, traveler processing, investigations, case management, and intelligence.
- Provides entry/exit data to other systems/agencies;
- Provides a real time interface with Federal Bureau of Investigation’s National Criminal Information Center (NCIC) and Integrated Automated Fingerprint Information System (IAFIS) for on line-queries of wants/warrants and criminal history records;
- Provides a real time interface to National Law Enforcement Telecommunications System (Nlets) for on-line-queries of driver’s licenses, vehicle registration and state wants/warrants from all 50 states and Canada;
- Provides a real time interface with the US-VISIT IDENT system for collection and verification of fingerprints of non-U.S. citizens.
- Provides a real-time interface to travel document issuing authorities. The travel document photos and biographic data are displayed at primary and secondary inspection, and made available for data share with other federal stakeholders as provisioned in the memoranda of understanding. These issuing authorities include the Department of State, U.S. Citizenship and Immigration Services, CBP’s Trusted Traveler Programs, departments of motor vehicles of states and Canadian provinces with enhanced driver’s licenses, and Indian Tribes;
- Processes over two million transactions daily; and
- Supports the case management solution for ICE investigations including functions such as Investigative Case Management, Money Laundering Tracking and Reporting, Casino and Bank Secrecy Act data, Telephone Analysis and other functionalities unique to ICE’s mission. Included within ICE’s budget is funding to modify the portion of TECS that is unique to its mission.

### **Terrorism Prevention Systems Enhancements**

Additionally, TPSE is funded within the COPPS PPA. TPSE was initiated in FY 2008 to enhance critical infrastructure, monitoring capabilities, networking and computing capabilities to support our worldwide passenger vetting requirements such as facilitating electronic travel authorization, pre-clearance of passengers coming into all POEs and analyzing passenger data for terrorist and threat

analysis. TPSE is intended to ensure 24x7 systems availability, network redundancy, and monitoring in the Passenger and Targeting areas. The TPSE infrastructure enhancements will be implemented at the CBP National Data Center (NDC), the two DHS Data Centers, and targeted POEs, thereby improving availability and reliability. TPSE will further CBP's efforts to enable 24x7x365 systems operational availability to meet the future processing and storage/backup requirements for passenger screening while enhancing the existing systems.

Strategic investments such as TPSE will ensure that the critical infrastructure services that enable continuous passenger systems operations are improved to meet the mission demand. These services include enhancing our monitoring capabilities, improving our current data center infrastructure, and enhancing our capability to maintain exact copies from our production facility to our continuity facility.

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Increase 1:** Enhancement for TECS Modernization  
**PPA:** **Critical Operations Protection and Processing Support**  
**Program Increase:** Positions 0, FTE 0, Dollars \$5,000

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1	1	181,732
Program Increase							-	-	5,000
<b>Total Request</b>	<b>1</b>	<b>1</b>	<b>197,603</b>	<b>1</b>	<b>1</b>	<b>194,275</b>	<b>1</b>	<b>1</b>	<b>186,732</b>

### Description of Item

CBP requests a \$5 million increase to the TECS Modernization program. This modernization effort is to be completed in September 2015. TECS Modernization will be solely maintenance beginning in FY 2016.

### Justification

#### **TECS Modernization**

TECS is a key border enforcement system for CBP and DHS. As such, TECS provides critical processing capabilities for sharing of information about people who are inadmissible or may pose a threat to the security of the United States. TECS is the primary lookout record database for all of DHS and plays an essential role in the screening of travelers entering the U.S. and in supporting the screening requirements of other federal agencies. Modernizing TECS functionality is critical to CBP's border enforcement mission. The current TECS system is more than 20 years old and uses technology that will be increasingly difficult to support in the future and expensive to maintain. The multi-year Modernization project will employ an incremental approach that addresses seven objectives as established in the CBP Mission Needs Statement:

1. Reduce the possibility of missing someone who should be intercepted by improving data integration and search capabilities. TECS Modernization will improve both the integrity of data

as well as search capabilities so front-line CBP officers can effectively make border crossing decisions;

2. Improve access to person-centric information by Government officials. TECS Modernization will provide an updated system with better access, improved information sharing, and tighter security over sensitive person-centric information;
3. Improve the effectiveness and efficiency of secondary inspections. TECS Modernization will simplify and streamline one of the most important CBP functions – Secondary Inspections. TECS Modernization will eliminate the need to re-enter redundant data and make it easier for end users to do their jobs;
4. Improve flexibility to incorporate new capabilities and respond to evolving threats. TECS Modernization will provide a more modular environment, more receptive to changes for meeting critical business objectives;
5. Provide a highly reliable and scalable system with quick response times. TECS Modernization is built on a much more scalable foundation so that CBP can grow and meet new emerging requirements;
6. Eliminate dated technologies that are no longer able to support the CBP mission over the long term. TECS Modernization will provide newer technologies that make it easier to maintain the system without taking the entire system down which disrupts critical field activities; and
7. Comply with CBP and DHS mandates such as Service Oriented Architecture. TECS Modernization will significantly improve how components and functions can be combined and configured into an overall compliant architecture.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

The requested funding will enhance the ability of TECS Modernization to meet technical and schedule requirements which allows for cost avoidance of maintaining the mainframe and associated database beyond FY 2015.

During FY 2013 TECS Modernization will have all five major projects under the TECS Modernization program under way. The requested increase of \$5 million will facilitate the coordination and dependencies between these projects to ensure that TECS Modernization stays on schedule and is completed by the end of FY 2015. Not completing TECS Modernization by the end of FY 2015 extends the reliance on expensive, unsupportable technology of critical border security functions for CBP, DHS, and OGAs who depend on TECS for their daily operations.

The COPPS PPA supports two subprograms and their associated LOBs: the Inbound Inspection subprogram under LOB 3, Securing and Facilitating Flows of People and the Management subprogram under LOB 5, Enterprise Business Services. This PPA supports the following CBP and DHS goals and objectives:

DHS Goal 1: Protect our Nation from Dangerous People.

CBP Mission Set 2: Securing and Facilitating the Movement of People and Goods.

Goal 2.1 More effectively divide shipments and travelers according to potential threats they pose.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

For expenses for U.S. Customs and Border Protection automated systems, [\$344,275,000] \$327,526,000, to remain available until September 30, [2014] 2015, of which not less than [\$140,000,000] \$140,794,000 shall be for the Automated Commercial Environment.[: Provided, That of the total amount made available under this heading, \$25,000,000 may not be obligated for the Automated Commercial Environment program until the Commissioner of U.S. Customs and Border Protection submits to the Committees on Appropriations of the Senate and House of Representatives, not later than 60 days after the date of enactment of this Act, an expenditure plan for the Automated Commercial Environment program including results to date, plans for the program, and a list of projects with associated funding from prior appropriations and provided by this Act. (Department of Homeland Security Appropriations Act, 2012.) ]

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>63</b>	<b>63</b>	<b>391,352</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>63</b>	<b>63</b>	<b>334,275</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
Realignment of Funding for Targeting Systems	-	-	(7,000)
<b>Total, Transfers</b>	<b>-</b>	<b>-</b>	<b>(7,000)</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
FY 2013 Pay Increase	-	-	32
Increase to Maintain Current Operational Capability	-	-	7,762
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>7,794</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Management Efficiencies [IT Infrastructure]	-	-	(12,543)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(12,543)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>(11,749)</b>
<b>FY 2013 Current Services</b>	<b>63</b>	<b>63</b>	<b>322,526</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Enhancement for TECS Modernization	-	-	5,000
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>5,000</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>5,000</b>
<b>FY 2013 Requested Budget Authority</b>	<b>63</b>	<b>63</b>	<b>327,526</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>(6,749)</b>

\* FY 2012 actuals include funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	63	63	391,352
<b>FY 2012 Enacted Budget Authority</b>	63	63	334,275
<b>Adjustments-to-Base</b>	-	-	-
Transfers	-	-	(7,000)
Increases	-	-	7,794
Decreases	-	-	(12,543)
<b>Total, Adjustments-to-Base</b>	-	-	<b>(11,749)</b>
<b>FY 2013 Current Services</b>	63	63	322,526
<b>Program Changes</b>	-	-	-
Increases	-	-	5,000
<b>Total, Program Changes</b>	-	-	<b>5,000</b>
<b>FY 2013 Requested Budget Authority</b>	63	63	327,526
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(6,749)</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
ACE TIDS	62	62	140,000	-	-	794	-	-	-	62	62	140,794	-	-	794
Critical Operations Protection and Processing Support	1	1	194,275	-	-	(12,543)	-	-	5,000	1	1	186,732	-	-	(7,543)
<b>Total</b>	<b>63</b>	<b>63</b>	<b>334,275</b>	<b>-</b>	<b>-</b>	<b>(11,749)</b>	<b>-</b>	<b>-</b>	<b>5,000</b>	<b>63</b>	<b>63</b>	<b>327,526</b>	<b>-</b>	<b>-</b>	<b>(6,749)</b>

\* FY 2012 actuals include funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)



**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,263	7,654	6,067	(1,587)
12.1 Benefits	1,137	3,042	2,619	(423)
<b>Total, Personnel and Other Compensation Benefits</b>	<b>5,400</b>	<b>10,696</b>	<b>8,686</b>	<b>(2,010)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	712	264	127	(137)
23.1 GSA rent	-	200	200	-
23.2 Other rent	22	8	-	(8)
23.3 Communications, utilities, and misc. charges	14,829	17,478	16,118	(1,360)
25.2 Other services	241,196	235,812	175,161	(60,651)
25.7 Operation and maintenance of equipment	25,367	57,148	50,838	(6,310)
26.0 Supplies and materials	273	237	190	(47)
31.0 Equipment	103,553	97,468	76,206	(21,262)
<b>Total, Other Object Classes</b>	<b>385,952</b>	<b>408,615</b>	<b>318,840</b>	<b>(89,775)</b>
<b>Total, Direct Obligations</b>	<b>391,352</b>	<b>419,311</b>	<b>327,526</b>	<b>(91,785)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(85,036)	-	85,036
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(85,036)</b>	-	<b>85,036</b>
<b>Total Requirements</b>	<b>391,352</b>	<b>334,275</b>	<b>327,526</b>	<b>(6,749)</b>
<b>Full Time Equivalents</b>	<b>63</b>	<b>63</b>	<b>63</b>	-

## F. Permanent Positions by Grade

### Department of Homeland Security U.S. Customs and Border Protection Automation Modernization: Permanent Positions by Grade

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	1	1	-
GS-15	10	10	10	-
GS-14	22	22	22	-
GS-13	29	29	29	-
GS-12	1	1	1	-
<b>Total Permanent Positions</b>	<b>63</b>	<b>63</b>	<b>63</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	63	63	63	-
Headquarters	63	63	63	-
<b>Total, Automation modernization:</b>	<b>63</b>	<b>63</b>	<b>63</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>63</b>	<b>63</b>	<b>63</b>	<b>-</b>
Average ES Salary	165,991	165,991	165,991	-
Average GS Salary	117,044	117,044	117,044	-
Average Grade	14	14	14	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
Critical Operations Protection and Processing Support  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	91	91	-
12.1 Benefits	-	31	31	-
<b>Total, Personnel and Compensation Benefits</b>	-	<b>122</b>	<b>122</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	458	127	85	(42)
23.3 Communications, utilities, and misc. charges	14,769	17,456	16,118	(1,338)
25.2 Other services	109,676	114,118	101,636	(12,482)
25.7 Operation and maintenance of equipment	11,124	3,302	2,294	(1,008)
26.0 Supplies and materials	196	18	-	(18)
31.0 Equipment	61,380	72,039	66,477	(5,562)
<b>Total, Other Object Classes</b>	<b>197,603</b>	<b>207,060</b>	<b>186,610</b>	<b>(20,450)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(12,907)	-	12,907
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(12,907)</b>	-	<b>12,907</b>
<b>Total Requirements</b>	<b>197,603</b>	<b>194,275</b>	<b>186,732</b>	<b>(7,543)</b>
<b>Full Time Equivalents</b>	<b>1</b>	<b>1</b>	<b>1</b>	-

### Critical Operations Protection and Processing Support Mission Statement

The Critical Operations Protection & Processing Support (COPPS) mission is to consolidate all U.S. Customs and Border Protection (CBP) Information Technology (IT) infrastructure requirements together.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	91	91	-
12.1 Benefits	-	31	31	-
Total, Salaries & Benefits	-	122	122	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$458	\$127	\$85	-\$42

In FY 2013, a decrease of \$42,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$14,769	\$17,456	\$16,118	-\$1,338

In FY 2013, a decrease of \$1.338 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$109,676	\$114,118	\$101,636	-\$12,482

In FY 2013, a decrease \$12.482 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$11,124	\$3,302	\$2,294	-\$1,008

In FY 2013, a decrease of \$1.008 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$196	\$18	0	-\$18

In FY 2013, a decrease of \$18,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$61,380	\$72,039	\$66,477	-\$5,562

In FY 2013, a decrease of \$5.562 million.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Automation Modernization:  
ACE ITDS  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,263	7,563	5,976	(1,587)
12.1 Benefits	1,137	3,011	2,588	(423)
<b>Total, Personnel and Compensation Benefits</b>	<b>5,400</b>	<b>10,574</b>	<b>8,564</b>	<b>(2,010)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	254	137	42	(95)
23.1 GSA rent	-	200	200	-
23.2 Other rent	22	8	-	(8)
23.3 Communications, utilities, and misc. charges	60	22	-	(22)
25.2 Other services	131,520	121,694	73,525	(48,169)
25.7 Operation and maintenance of equipment	14,243	53,846	48,544	(5,302)
26.0 Supplies and materials	77	219	190	(29)
31.0 Equipment	42,173	25,429	9,729	(15,700)
<b>Total, Other Object Classes</b>	<b>188,349</b>	<b>201,555</b>	<b>132,230</b>	<b>(69,325)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(72,129)	-	72,129
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(72,129)</b>	<b>-</b>	<b>72,129</b>
<b>Total Requirements</b>	<b>193,749</b>	<b>140,000</b>	<b>140,794</b>	<b>794</b>
<b>Full Time Equivalents</b>	<b>62</b>	<b>62</b>	<b>62</b>	<b>-</b>

**ACE ITDS Mission Statement**

ACE will provide tools and enhance the business processes that are essential to securing the U.S. borders from terrorists by providing intelligence required to target illicit goods, while ensuring the efficient processing of legitimate goods. ACE capabilities have been designed to identify potential risks, analyze information prior to arrival of people and cargo, and provide intelligence in easy-to-use formats. As a web-based system, ACE will provide users from government and the trade community with new, more efficient ways of accessing, processing, and sharing trade-related information.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>11.1 Total FTE &amp; personnel compensation</b>	4,263	7,563	5,976	(1,587)
<b>12.1 Benefits</b>	1,137	3,011	2,588	(423)
<b>Total, Salaries &amp; Benefits</b>	<b>5,400</b>	<b>10,574</b>	<b>8,564</b>	<b>(2,010)</b>

In FY 2013, a decrease of \$2.010 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	\$254	\$137	\$42	-\$95

In FY 2013, a decrease of \$95,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	\$22	\$8	0	-\$8

In FY 2013, a decrease of \$8,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	\$60	\$22	0	-\$22

In FY 2013, a decrease of \$22,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	\$131,520	\$121,694	\$73,525	-\$48,169

In FY 2013, a decrease of \$48.169 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$14,243	\$53,846	\$48,544	-\$5,302

In FY 2013, a decrease of \$5.302 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$77	\$219	\$190	-\$29

In FY 2013, a decrease of \$29,000.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$42,173	\$25,429	\$9,729	-\$15,700

In FY 2013, a decrease of \$15.700 million.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>63</b>	<b>63</b>	<b>63</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>63</b>	<b>63</b>	<b>63</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
Construction and Facilities Management*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Customs and Border Protection Construction and Facilities Management**

### **I. Appropriation Overview**

#### **A. Mission Statement for Construction and Facilities Management**

U.S. Customs and Border Protection (CBP) strives to improve the planning, acquisition, execution, and management of its real property program and facilities portfolio. The Construction and Facilities Management account provides consolidated resources to plan, acquire, finance, manage, and sustain CBP's dynamic, multifaceted real property program and facilities portfolio across the acquisition life cycle. It enables CBP to determine the most appropriate facilities solution and strategy required to meet CBP's mission needs and fulfill operational priorities required to secure the Nation's borders. CBP occupies more than 3,600 facilities and 3,200 acres of land in the United States and internationally, which includes CBP owned and leased facilities, General Services Administration (GSA) owned and leased facilities, and other facilities acquired through interagency or other agreements.

#### **Mission Statement**

CBP is the frontline border security agency within the U.S. Department of Homeland Security (DHS) charged with the priority mission of preventing terrorists and terrorist weapons from entering the United States, while also facilitating the flow of legitimate trade and travel. More than 61,000 CBP employees manage, control, and protect the Nation's borders at and between the official ports of entry (POEs). CBP is responsible for protecting more than 5,000 miles of border with Canada, 1,900 miles of border with Mexico, and 95,000 miles of shoreline.

The CBP Construction and Facilities Management account provides the facilities solutions and associated infrastructure required to obtain and maintain operational control of the border. This account supports the Real Property Management Program in the Mission Support Line of Business. The Real Property Management Program encompasses the entire CBP facilities portfolio of owned and leased real property through all stages of the portfolio life cycle.

The Construction and Facilities Management account addresses the requirements for new, modernized, expanded, and sustained facilities to fulfill immediate mission-driven operational needs; accommodates increasing capacity demands associated with new agent, officer, pilot, and asset deployments; provides resources to correct deficiencies within existing facilities and structures; and allows CBP to proactively manage the real property inventory and facilities portfolio. The success of CBP's mission depends heavily on its physical infrastructure, specifically the facilities and infrastructure that support its operations and administrative support requirements. Adequate facilities and a robust real property program provide critical logistical and operational support to CBP's agents, officers, pilots, and other personnel.

CBP's diverse real property portfolio includes, but is not limited to: land, air, and sea POEs, Border Patrol stations, Border Patrol sector headquarters, Border Patrol checkpoints, forward operating bases or camps, laboratories, aviation hangars, marine piers/docks, administrative office space, classrooms and other training facilities, maintenance and repair facilities, parking facilities, vaults, firing ranges, intelligence and operations coordination centers, residential housing units, and parcels of land. In addition, CBP occupies land ports of entry (LPOEs) and office space in GSA's portfolio. The GSA rent associated with these facilities is funded in the Salaries and Expenses appropriation.

CBP facilities efforts are planned, executed, and managed by the Office of Administration, Facilities Management and Engineering (FM&E) Directorate, operating in conjunction with CBP offices, service providers, and its stakeholders. FM&E delivers facilities solutions through four integrated Program Management Offices, each supporting a single CBP office. This model provides customer-centric facility solutions to best fulfill the driving mission needs.

## **B. Budget Activities**

The Construction and Facilities Management account consists of two major Program, Project, and Activities (PPAs). These include the Facilities Construction and Sustainment PPA and the Program Oversight and Management PPA.

### Facilities Construction and Sustainment

The Facilities Construction and Sustainment PPA provides resources for all activities supporting the construction, acquisition, leasing, sustainment, and management of CBP's real property program and facilities portfolio. This includes, but is not limited to: program, facilities, and portfolio planning activities; environmental program support and environmental compliance requirements; real estate acquisition and disposal including leasing activities, right of entry, and fee-simple purchases; construction and demolition of real property assets, such as buildings and structures; property improvements including modernization, enhancements, expansion, and alterations of facilities and land improvements; design, architecture, and engineering services; construction and project management support; infrastructure connectivity; sustainment activities, such as maintenance, repairs, and operations; and all related activities and operational support required to provide turnkey facilities solutions. Resources for rent and rent-related costs, such as security services provided by the Federal Protective Service, are included in the Salaries and Expenses appropriation.

This PPA also includes funding to support CBP tunnel remediation. Tunnel remediation is the process whereby cross-border tunnels are physically secured and rendered unusable after discovery. The remediation process includes initial analyses, environmental services, project oversight and support, obtaining rights of entry, engineering/surveying, filling/plugging, inspection/acceptance, and reporting of associated status.

Currently, CBP's facilities plan calls for the following LPOEs to be completed in FY 2013: Nogales West/Mariposa, Arizona; Guadalupe, Texas; Van Buren, Maine; and Phase I of San Ysidro, California. Additionally, design and construction is planned to commence on Phase II of San Ysidro, California, and CBP will begin implementing the Tier III Outbound Infrastructure program across 10



Southwest Border LPOEs in order to implement a range of outbound infrastructure improvements. This work bolsters CBP's southbound inspection capabilities while facilitating processing efficiency and ensuring port security and officer safety. In addition, operations and maintenance costs are expected to rise in Fiscal Year (FY) 2014 to support these new facilities.

#### Program Oversight and Management

The Program Oversight and Management PPA provides for the necessary Government and support personnel, tools, planning, processes, procedures, and resource requirements in an integrated and effective manner to enable the Facilities Management and Engineering objectives to be successfully implemented. It provides resources for program management and support activities at the enterprise level to maximize operational efficiencies and guide strategic initiatives of the CBP Facilities Management and Engineering Directorate.

#### **C. Budget Request Summary**

DHS requests \$243.666 million and 243 full-time equivalents (FTEs) employees for the FY 2013 Construction and Facilities Management appropriation. This request includes a net adjustments-to-base increase of \$16.214 million, which reflects a transfer of existing resources for centralized utilities management, and tactical infrastructure that include Government personnel (24 FTE) and associated operational requirements. In addition, the request includes a program decrease of \$9.144 million.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Facilities Management**  
**Summary of FY 2013 Budget Estimates by Program Project Activity**  
  
**FY 2013 Requested Budget Authority**  
**(Dollars in Thousands)**

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Facility Construction and Sustainment	-	-	427,358	-	-	182,500	-	-	186,214	-	-	3,714	-	-	(9,144)	-	-	12,858
Program Oversight and Management	-	-	59,947	219	219	54,096	243	243	57,452	24	24	3,356	-	-	-	24	24	3,356
<b>Subtotal, Discretionary</b>	-	-	<b>487,305</b>	<b>219</b>	<b>219</b>	<b>236,596</b>	<b>243</b>	<b>243</b>	<b>243,666</b>	<b>24</b>	<b>24</b>	<b>7,070</b>	-	-	<b>(9,144)</b>	<b>24</b>	<b>24</b>	<b>16,214</b>
<b>Total, Construction:</b>	-	-	<b>487,305</b>	<b>219</b>	<b>219</b>	<b>236,596</b>	<b>243</b>	<b>243</b>	<b>243,666</b>	<b>24</b>	<b>24</b>	<b>7,070</b>	-	-	<b>(9,144)</b>	<b>24</b>	<b>24</b>	<b>16,214</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>487,305</b>	<b>219</b>	<b>219</b>	<b>236,596</b>	<b>243</b>	<b>243</b>	<b>243,666</b>	<b>24</b>	<b>24</b>	<b>7,070</b>	-	-	<b>(9,144)</b>	<b>24</b>	<b>24</b>	<b>16,214</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>487,305</b>	<b>219</b>	<b>219</b>	<b>236,596</b>	<b>243</b>	<b>243</b>	<b>243,666</b>	<b>24</b>	<b>24</b>	<b>7,070</b>	-	-	<b>(9,144)</b>	<b>24</b>	<b>24</b>	<b>16,214</b>

\* FY 2011 actual includes funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Facility Construction and Sustainment  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Facility Construction and Sustainment**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>427,358</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>182,500</b>
2013 Adjustments-to-Base	-	-	12,858
<b>2013 Current Services</b>	-	-	<b>195,358</b>
2013 Program Change	-	-	(9,144)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>186,214</b>
Total Change 2012 to 2013	-	-	3,714

U.S. Customs and Border Protection (CBP) requests \$186.214 million for Facilities Construction and Sustainment. The request includes:

- A decrease of -\$270,000 from the Fiscal Year (FY) 2012 National Targeting Center enhancement
- An increase of \$14.130 million for a transfer to centralize utilities management
- A decrease of -\$9.144 million for a reduction to Facilities Maintenance, Repairs, and Operations
- A decrease of -\$1.002 million from the FY 2012 Field Operations positions to staff new ports of entry (POEs) and to enhance operations

**CURRENT SERVICES PROGRAM DESCRIPTION**

CBP requests \$186.214 million in FY 2013 for the Facilities Construction and Sustainment Program, Project, Activity (PPA), which supports the Real Property Management Program in the Mission Support Line of Business. The Real Property Management Program encompasses the entire CBP facilities portfolio of owned and leased real property through all stages of the portfolio life cycle.

CBP depends heavily on the health and effectiveness of its physical infrastructure, specifically the facilities, buildings, structures, and land that support its operations and administrative support requirements. The Facilities Construction and Sustainment PPA provides the facilities and associated infrastructure required to obtain and maintain operational control of the border, a primary factor of CBP’s mission to prevent terrorists and terrorist weapons from entering the United States. Specific CBP facility types include, but are not limited to: POEs, Border Patrol stations, Border Patrol sector

headquarters, traffic checkpoints, forward operating bases, laboratories, aviation hangars, marine piers/docks, classrooms and other training facilities, maintenance and repair facilities, parking facilities, vaults, firing ranges, intelligence and operations coordination centers, administrative office space, residential housing units, and parcels of land. CBP occupies more than 3,600 facilities and 3,200 acres of land in the United States and internationally, which includes CBP owned and leased facilities, General Services Administration (GSA) owned and leased facilities, and other facilities acquired through interagency or other agreements. The Real Property Inventory Plan contains additional details and is submitted with these budget materials.

Resources in the Facilities Construction and Sustainment PPA in FY 2013 will focus on the sustainment and operations of CBP's existing facilities portfolio and real property inventory. Prior year investments to replace and expand CBP facilities have resulted in a much newer and more capable portfolio. These capital improvements will be maintained to protect against premature deterioration and to ensure safe and effective operating environments for CBP personnel. To this end, resources in the FY 2013 Facilities Construction and Sustainment PPA will center on providing the appropriate level of funding for sustainment and operational needs for the modernized facilities portfolio. This effort entails delivery of facilities solutions to meet mission-driven operational requirements, which include critical maintenance, repairs, and operations activities, including baseline building services, to keep the portfolio from deteriorating; renewals of expiring leases; alterations and configuration of space to accommodate operational requirements and additional personnel and asset deployment; tunnel remediation activities; and required program and portfolio management support to enhance CBP's multifaceted real property program. Consolidated resources in this PPA allow CBP to manage its construction and facilities management program more efficiently by funding the highest priorities within CBP's facilities portfolio and program requirements. Rent management and related costs are addressed separately in the Salaries and Expenses appropriation.

Major priorities planned for FY 2013 include executing environmental, sustainability, and energy management activities related to facilities acquisition and disposal projects; expanding regional preventive maintenance and operational contracts for CBP-owned facilities; delivering baseline building services such as custodial services, snow removal, waste disposal, lawn services, and building functions; renewing and administering expiring leases; and remediating tunnels as they become ready for remediation.

Primary cost drivers in the FY 2013 budget include facilities requirements associated with disaster recovery and emergency preparedness; life and safety requirements; compliance violations including fire, building code, structural, environmental compliance, and physical security violations; baseline building services; recurring sustainment activities and services including preventive maintenance, deferred maintenance, and emergency and unscheduled repairs; and lease expirations including any mandatory relocations.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Program Oversight and Management  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Program Oversight and Management**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>59,947</b>
<b>2012 Enacted Budget Authority</b>	<b>219</b>	<b>219</b>	<b>54,096</b>
2013 Adjustments-to-Base	24	24	3,356
<b>2013 Current Services</b>	<b>243</b>	<b>243</b>	<b>57,452</b>
<b>2013 Total Requested Budget Authority</b>	<b>243</b>	<b>243</b>	<b>57,452</b>
Total Change 2012 to 2013	24	24	3,356

U.S. Customs and Border Protection (CBP) requests \$57.452 million for Program Oversight and Management. The request includes:

- An increase of \$5,000 for the Fiscal Year (FY) 2012 Field Operations positions to staff new ports of entry and to enhance operations
- An increase of \$1,000 for the FY 2012 National Targeting Center enhancement
- An increase of \$103,000 for the FY 2013 Pay Increase
- An increase of \$3.247 million for a transfer from Border Security Fencing, Infrastructure and Technology (BSFIT) funding for staff support of tactical infrastructure

**CURRENT SERVICES PROGRAM DESCRIPTION**

CBP requests 243 positions and \$57.452 million in FY 2013 for the Program Oversight and Management Program, Project, Activity (PPA), which supports the Real Property Management subprogram in the Mission Support Line of Business. The full-time equivalents will support the entire CBP Construction and Facilities Management program including all activities associated with the Facilities Construction and Sustainment PPA.

CBP is currently launching a balanced workforce initiative to achieve the appropriate mix of Federal and contractor skills, expertise, experience, and other assets necessary to effectively manage CBP's real property program. This initiative will realize efficiencies, risk reduction, and cost savings for the facilities management program. The savings will be reinvested to support mission-critical requirements of the CBP facilities portfolio.

The Program Oversight and Management PPA enables the successful implementation of all program objectives and ensures strategic alignment across the CBP real property program by providing the necessary Government and support personnel; planning tools, processes, and procedures; and resource

matrices in an integrated and effective manner. A cadre of highly skilled specialists supporting the Construction and Facilities Management program is instrumental in the development and delivery of mission-critical core capabilities. Among other abilities, facilities management personnel offer architectural, environmental, energy, real estate, and engineering services, along with long-term strategic planning expertise that allows CBP to provide the most appropriate facilities solutions to strengthen operational support and maximize operational capabilities and efficiencies. An array of program management and oversight activities and initiatives produce critical facilities data and information assessments that facilitate the effective planning and management of CBP's facilities portfolio and real property inventory.

CBP's FY 2013 budget submission reflects the transfer of salaries and operational program resources from the Salaries and Expenses appropriation to the Program Oversight and Management PPA enacted in FY 2012. The transfer allows greater flexibility to allocate scarce resources to the highest priority requirements of CBP's facilities portfolio. This consolidation of all CBP facilities-related program management and support resources into a single appropriation account enables CBP to consistently plan, finance, acquire, manage, oversee, and administer the Construction and Facilities Management program to best fulfill the driving mission needs. The FY 2013 budget submission includes a transfer from the BSFIT appropriation for the salaries and resources associated with the Government and support personnel required to administer the Tactical Infrastructure program.

Major priorities planned for the FY 2013 Program Oversight and Management PPA include Government personnel and critical contract services required to administer CBP's Construction and Facilities Management program; develop and acquire critical core capabilities necessary to support facilities requirements; implement a balance workforce initiative to provide the appropriate mix of Federal and contract support; develop and implement environmental, sustainability, and energy management initiatives enterprise wide; and implement an integrated workplace management system to provide portfolio management network solutions.

Primary FY 2013 costs in the Program Oversight and Management PPA include all Government personnel, development of core capabilities, and enterprise-level program requirements supporting facilities requirements associated with disaster recovery and emergency preparedness; life and safety requirements; compliance violations including fire, building code, structural, environmental compliance, and physical security violations; baseline building services; recurring sustainment activities and services including preventive maintenance, deferred maintenance, and emergency and unscheduled repairs; and lease expirations including any mandatory relocations.

### **Program Oversight and Management Adjustments to Base**

This PPA includes a transfer of \$3.247 million from the BSFIT appropriation into the Construction and Facilities Management appropriation for the salaries and resources associated with the Government and support personnel required to administer the Tactical Infrastructure program.

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Decrease 1:** Reduction to Facilities Maintenance, Repairs, and Operations  
**PPA:** Facility Construction and Sustainment  
**Program Decrease:** Positions 0, FTE 0, Dollars \$(9,144)

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	195,358
Program Decrease							-	-	(9,144)
<b>Total Request</b>	-	-	<b>427,358</b>	-	-	<b>182,500</b>	-	-	<b>186,214</b>

### Description of Item

The reduction of \$9.144 million is applied to activities within the Facilities Construction and Sustainment Program, Project, Activity (PPA) in order to prioritize frontline U.S. Customs and Border Protection (CBP) operations. This PPA supports critical maintenance, repairs, and operations requirements of existing CBP facilities. These core facilities activities support the Real Property Management subprogram in the Mission Support Line of Business, which provides efficient delivery of facilities solutions for CBP's multifaceted facilities portfolio and real property inventory.

### Justification

The reduction will primarily affect the existing CBP facilities portfolio and real property inventory and may extend to leasehold improvements of GSA leased spaces. Planned facilities management and sustainment activities, such as maintenance, repairs, operations, alterations, and lease renewals, will be delayed, deferred, or foregone, as a result of this reduction. To minimize the effect on critical operational needs, CBP will assess its facilities portfolio to identify and prioritize core mission and facilities requirements.

### Impact on Performance (Relationship of Decrease to Strategic Goals)

Although the reduction may affect planned facilities, management, and sustainment activities, CBP will ensure its highest priority operations are not significantly affected.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For expenses to plan, acquire, construct, renovate, equip, furnish, operate, manage, and maintain buildings, facilities, and related infrastructure necessary for the administration and enforcement of the laws relating to customs, immigration, and border security, [\$236,596,000] **\$243,666,000**, to remain available until September 30, [2016], **2017**: Provided, That for fiscal year [2012] **2013** and thereafter, the annual budget submission of U.S. Customs and Border Protection for “Construction and Facilities Management” shall, in consultation with the General Services Administration, include a detailed 5-year plan for all Federal land border port of entry projects with a yearly update of total projected future funding needs delineated by land port of entry: Provided further, That the Commissioner of U.S. Customs and Border Protection shall submit to the Committees on Appropriations of the Senate and House of Representatives, at the time that the President’s budget is submitted each year under section 1105(a) of title 31, United States Code, an inventory of the real property of U.S. Customs and Border Protection and a plan for each activity and project proposed for funding under this heading that includes the full cost by fiscal year of each activity and project proposed and underway in fiscal year 2013. (Department of Homeland Security Appropriations Act, 2012)



## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	-	-	<b>487,305</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>219</b>	<b>219</b>	<b>236,596</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer for centralized utilities management	-	-	14,130
Transfer to Realign OTIA Funding: TI	24	24	3,247
<b>Total, Transfers</b>	<b>24</b>	<b>24</b>	<b>17,377</b>
<b>Increases</b>	-	-	-
FY 2013 Pay Increase	-	-	103
<b>Total, Increases</b>	-	-	<b>103</b>
<b>Decreases</b>	-	-	-
Annualization of FY 2012 Field Operations positions to staff new ports of entry	-	-	(997)
Annualization of FY 2012 National Targeting Center	-	-	(269)
<b>Total, Decreases</b>	-	-	<b>(1,266)</b>
<b>Total, Adjustments-to-Base</b>	<b>24</b>	<b>24</b>	<b>16,214</b>
 <b>FY 2013 Current Services</b>	 <b>243</b>	 <b>243</b>	 <b>252,810</b>
 <b>Program Changes</b>	 -	 -	 -
<b>Decreases</b>	-	-	-
Reduction to Facilities Maintenance, Repairs, and Operations	-	-	(9,144)
<b>Total, Decreases</b>	-	-	<b>(9,144)</b>
<b>Total, Program Changes</b>	-	-	<b>(9,144)</b>
 <b>FY 2013 Requested Budget Authority</b>	 <b>243</b>	 <b>243</b>	 <b>243,666</b>
 <b>FY 2012 to FY 2013 Total Change</b>	 <b>24</b>	 <b>24</b>	 <b>7,070</b>

\* FY 2011 actuals include funding from the FY 2010 Emergency Border Security Supplemental (P.L. 111-230)

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	-	-	487,305
<b>FY 2012 Enacted Budget Authority</b>	219	219	236,596
<b>Adjustments-to-Base</b>	-	-	-
Transfers	24	24	17,377
Increases	-	-	103
Decreases	-	-	(1,266)
<b>Total, Adjustments-to-Base</b>	24	24	16,214
<b>FY 2013 Current Services</b>	243	243	252,810
<b>Program Changes</b>	-	-	-
Decreases	-	-	(9,144)
<b>Total, Program Changes</b>	-	-	(9,144)
<b>FY 2013 Requested Budget Authority</b>	243	243	243,666
<b>FY 2012 to FY 2013 Total Change</b>	24	24	7,070

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Facility Construction and Sustainment	-	-	182,500	-	-	12,858	-	-	(9,144)	-	-	186,214	-	-	3,714
Program Oversight and Management	219	219	54,096	24	24	3,356	-	-	-	243	243	57,452	24	24	3,356
<b>Total</b>	219	219	236,596	24	24	16,214	-	-	(9,144)	243	243	243,666	24	24	7,070

\* FY 2011 actuals include funding from the *FY 2010 Emergency Border Security Supplemental Act* (P.L. 111-230)

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	18,270	21,006	2,736
11.3 Other than full-time permanent	-	25	25	-
11.6 Pay Diff (Sun/Night)	-	75	75	-
11.7 Military personnel/Awards	-	208	237	29
12.1 Benefits	-	5,555	6,140	585
12.4 Allowances	-	20	20	-
<b>Total, Personnel and Other Compensation Benefits</b>	-	<b>24,153</b>	<b>27,503</b>	<b>3,350</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	947	2,717	2,723	6
22.0 Transportation of things	691	341	341	-
23.2 Other rent	17	-	-	-
23.3 Communications, utilities, and misc. charges	4,495	6,633	20,763	14,130
25.2 Other services	142,664	31,036	30,440	(596)
25.3 Purchases from Gov't accts.	13,858	-	-	-
25.4 O&M of facilities	166,781	154,642	145,494	(9,148)
25.5 R&D of contracts	25	-	-	-
25.7 Operation and maintenance of equipment	3,034	-	-	-
26.0 Supplies and materials	1,220	729	729	-
31.0 Equipment	39,377	16,945	15,673	(1,272)
32.0 Land & structures	114,196	-	-	-
<b>Total, Other Object Classes</b>	<b>487,305</b>	<b>213,043</b>	<b>216,163</b>	<b>3,120</b>
<b>Total, Direct Obligations</b>	<b>487,305</b>	<b>237,196</b>	<b>243,666</b>	<b>6,470</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(600)	-	600
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(600)</b>	-	<b>600</b>
<b>Total Requirements</b>	<b>487,305</b>	<b>236,596</b>	<b>243,666</b>	<b>7,070</b>
<b>Full Time Equivalents</b>	-	219	243	24

## F. Permanent Positions by Grade

### Department of Homeland Security U.S. Customs and Border Protection Facilities Management Permanent Positions by Grade

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	-	1	1	-
GS-15	-	17	22	5
GS-14	-	54	62	8
GS-13	-	77	83	6
GS-12	-	57	60	3
GS-11	-	6	8	2
GS-9	-	2	2	-
GS-8	-	3	3	-
GS-7	-	1	1	-
GS-6	-	1	1	-
<b>Total Permanent Positions</b>	-	<b>219</b>	<b>243</b>	<b>24</b>
Unfilled Positions EOY	20	20	20	-
Total Permanent Employment EOY	226	226	219	(7)
Headquarters	-	-	95	95
U.S. Field	-	-	148	148
<b>Total, Construction:</b>	-	-	<b>243</b>	<b>243</b>
<b>Full Time Equivalents</b>	-	<b>219</b>	<b>243</b>	<b>24</b>
Average ES Salary	206,640	206,640	206,640	-
Average GS Salary	106,430	106,430	106,430	-
Average Grade	13	13	13	-

## G. Capital Investment and Construction Initiative Listing

### Construction and Facilities Management Appropriation

- \$243.666 million
- U.S. Customs and Border Protection (CBP) Construction and Facilities Management includes:
  - Facilities Construction and Sustainment
  - Program Oversight and Management

PROGRAM	FY 2013 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Program, Project Activity (PPA)	Appropriation
Facilities Construction & Sustainment	\$195,358	(\$9,144)	\$186,214	Facilities Construction & Sustainment	Construction and Facilities Management
Program Oversight & Management	\$57,452	-	\$57,452	Program Oversight & Management	Construction and Facilities Management
<b>Total Investments</b>	<b>\$252,810</b>	<b>(\$9,144)</b>	<b>\$243,666</b>		

### NAME OF CONSTRUCTION INITIATIVES

#### 1. Project Description, Justification and Scope

The CBP Construction and Facilities Management account provides the facilities solutions and associated infrastructure required to obtain and maintain operational control of the border. It addresses the requirements for new, modernized, expanded, and sustained facilities to fulfill immediate mission-driving operational needs; accommodates increasing capacity demands associated with new agent, officer, pilot, and asset deployments; provides resources to modify and/or correct deficiencies within existing facilities and structures; and allows CBP to proactively manage the real property inventory and facilities portfolio and support facilities' program-wide efforts. The Fiscal Year (FY) 2013 budget submission request will focus on sustainment activities of CBP's real property program and facilities portfolio and associated infrastructure requirements, leasing management activities, and program planning and management support.

#### 2. Significant Changes

N/A.

#### 3. Project Schedule

N/A.

#### 4. Schedule of Project Funding

**(Dollars in Thousands)**

<b>Facilities Construction and Sustainment</b>				
	FY 2011	FY 2012	FY 2013	Total
Appropriation	\$223,170	\$182,500	\$186,214	\$591,884
Obligation (planned)	\$223,170	\$182,500	\$186,214	\$591,884
Expenditure (planned)	\$23,399	\$91,250	\$93,107	\$207,756

<b>Program Oversight and Management</b>				
	FY 2011	FY 2012	FY 2013	Total
Appropriation	\$36,310	\$54,096	\$57,452	\$147,858
Obligation (planned)	\$36,310	\$54,096	\$57,452	\$147,858
Expenditure (planned)	\$2,264	\$48,686	\$51,707	\$102,657

**5. Cost Estimate Detail and Changes  
(Dollars in Thousands)**

N/A

**6. Method of Performance**

**CBP Construction and Facilities Management requirements are executed through the U.S. Army Corps of Engineers (USACE), U.S. General Services Administration (GSA), and the CBP Office of Procurement.**

**Through a memorandum of agreement, the USACE provides CBP with consolidated program management services for real estate planning and acquisition, planning and programming, environmental planning and compliance, design and cost engineering, construction and warranty enforcement, and integrated occupancy services.**

Project schedules and cost estimates are developed by the Facilities Management and Engineering program management offices and are tracked through Program Management reviews. Project completion schedules and funding allocated to specific projects are tracked within the current CBP accounting system. This system includes modules that store specific information on each asset. That information is automatically linked to key information systems and includes modules that cover all aspects of the assets. The real property profile performance data can be used to produce financial, procurement, and real property indices for measuring the performance of the assets. Projects in Progress are tracked and reported on

a monthly basis by project managers in the field. The tracking consists of monitoring the project delivery for construction and leasing through industry standards, including tracking each specific project's schedule, scope, and budget.

Across CBP's owned facilities, the general performance indices include:

1. Facility Condition – Condition surveys are performed on a periodic basis to ascertain the true condition of the asset. A Strategic Resource Assessment will be the primary means by which this information will be generated in the future.
2. Facility Utilization – These indices track the square footage of space and the number of full-time equivalents assigned.
3. Operating Costs – These indices track the cleaning/janitorial, maintenance, and utility costs at the asset level.

**Mission Dependency – Primary categories include: Mission Critical, Mission Dependent Not Critical, and Non Mission Dependent**

4. Energy Consumption – As part of the Operating Costs Indices, energy consumption and conservation measures are tracked separately.
5. National Historical Preservation Assets – Real Property Assets that could be eligible for the National Historical Preservation List are tracked.

Within the Land Ports of Entry, CBP applies an additional set of performance indices including:

1. Mission and Operations – Factors for the mission and operations criterion measure the facility's compatibility with specific inspection responsibilities. Individual factors address the type of activities performed within the facility and features of the facility necessary for successful inspection services. This criterion contains factors that cause the most significant disruptions to inspection activities and conditions that reflect the significance of the facility's operations.
2. Life Safety and Security – The factors for security and life safety measure a facility's ability to protect occupants and visitors and allow law enforcement functions to maintain safe and secure control of the public and detained individuals. The individual factors address compliance with security and life safety standards (features incorporated in the facility to resist assault and allow staff to maintain operations during emergencies) and deficiencies that represent hazards to the occupants. Safety standards include building life safety codes, as well as Federal standards developed in response to terrorist attacks or other threats faced by the occupants.
3. Space and Site Deficiencies – Space and site deficiencies are related to the functional work environment and the overall facility site. Space deficiencies are determined by



applying utilization rates, based on space standards, to existing personnel and functions to calculate the amount of usable space that should be available in an existing facility. In addition, the major facility systems and site and building layouts are evaluated for functionality and expansion potential.

4. Personnel and Workload Growth – The personnel and workload growth criterion contains factors related to both current and future personnel, along with current and projected workload categories that generate the need for additional personnel and space at each facility. The points for many of the factors are determined through a national ranking system.

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Program Oversight and Management  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	18,270	21,006	2,736
11.3 Other than full-time permanent	-	25	25	-
11.6 Pay Diff (Sun/Night)	-	75	75	-
11.7 Military personnel/Awards	-	208	237	29
12.1 Benefits	-	5,555	6,140	585
12.4 Allowances	-	20	20	-
<b>Total, Personnel and Compensation Benefits</b>	-	<b>24,153</b>	<b>27,503</b>	<b>3,350</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1	799	805	6
23.2 Other rent	6	-	-	-
23.3 Communications, utilities, and misc. charges	144	150	150	-
25.2 Other services	59,573	29,118	28,522	(596)
25.3 Purchases from Gov't accts.	48	-	-	-
25.4 O&M of facilities	29	-	-	-
25.7 Operation and maintenance of equipment	3	-	-	-
26.0 Supplies and materials	37	197	197	-
31.0 Equipment	106	275	275	-
<b>Total, Other Object Classes</b>	<b>59,947</b>	<b>30,539</b>	<b>29,949</b>	<b>(590)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(596)	-	596
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(596)</b>	-	<b>596</b>
<b>Total Requirements</b>	<b>59,947</b>	<b>54,096</b>	<b>57,452</b>	<b>3,356</b>
<b>Full Time Equivalents</b>	-	<b>219</b>	<b>243</b>	<b>24</b>

### Program Oversight and Management Mission Statement

Program Oversight and Management provides for the programmatic studies, services, initiatives, as well as contract support and services required to support the administration and management of facilities and construction programs, program management oversight, and project management oversight.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	18,270	21,006	2,736
11.3 Other than full-time permanent	-	25	25	-
11.6 Pay Diff (Sun/Night)	-	75	75	-
11.7 Military personnel/Awards	-	208	237	29
12.1 Benefits	-	5,555	6,140	585
12.4 Allowances	-	20	20	-
<b>Total, Salaries &amp; Benefits</b>	-	<b>24,153</b>	<b>27,503</b>	<b>3,350</b>

In FY 2013, an increase of \$103,000 is an increase for FY 2013 Pay Increase. In FY 2013, an increase of \$3.247 million is a transfer to realign OTIA tactical infrastructure funding.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$1	\$799	\$805	\$6

In FY 2013, an increase of \$6,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$59,573	\$29,118	\$28,522	-\$596

In FY 2013, a decrease of \$596,000.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Facilities Management  
Facility Construction and Sustainment  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	946	1,918	1,918	-
22.0 Transportation of things	691	341	341	-
23.2 Other rent	11	-	-	-
23.3 Communications, utilities, and misc. charges	4,351	6,483	20,613	14,130
25.2 Other services	83,091	1,918	1,918	-
25.3 Purchases from Gov't accts.	13,810	-	-	-
25.4 O&M of facilities	166,752	154,642	145,494	(9,148)
25.5 R&D of contracts	25	-	-	-
25.7 Operation and maintenance of equipment	3,031	-	-	-
26.0 Supplies and materials	1,183	532	532	-
31.0 Equipment	39,271	16,670	15,398	(1,272)
32.0 Land & structures	114,196	-	-	-
<b>Total, Other Object Classes</b>	<b>427,358</b>	<b>182,504</b>	<b>186,214</b>	<b>3,710</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(4)	-	4
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(4)</b>	<b>-</b>	<b>4</b>
<b>Total Requirements</b>	<b>427,358</b>	<b>182,500</b>	<b>186,214</b>	<b>3,714</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Facility Construction and Sustainment Mission Statement**

Facilities Construction and Sustainment provides facilities management, acquisition, construction, leasing, and sustainment of CBP occupied facilities, and associated infrastructure and services that the U.S. Customs and Border Protection needs to perform its enforcement and trade facilitation mission.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	\$4,351	\$6,483	\$20,613	\$14,130

In FY 2013, an increase of \$14.130 million is a transfer to centralize utilities management.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.4 O&amp;M of facilities</b>	\$166,752	\$154,642	\$145,494	-\$9,148

In FY 2013, a decrease of -\$9.144 million is a reduction to the Facilities program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$39,271	\$16,670	\$15,398	-\$1,272

In FY 2013, a decrease of -\$1.272 million.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	-	-	<b>219</b>
<b>Increases</b>			
Transfer of FM&E staff to Facilities	-	226	-
Transfer to Realign OTIA Funding: TI	-	-	24
<b>Subtotal, Increases</b>	-	<b>226</b>	<b>24</b>
<b>Decreases</b>			
Reduction to Facilities Program Oversight and Management	-	(7)	-
<b>Subtotal, Decreases</b>	-	<b>(7)</b>	-
<b>Year End Actuals/Estimated FTEs:</b>	-	<b>219</b>	<b>243</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	-	<b>219</b>	<b>24</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

N/A



# Department of Homeland Security

*U.S. Customs and Border Protection  
Air and Marine Interdiction*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Air and Marine Interdiction**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Air and Marine Interdiction:**

Customs and Border Protection (CBP) protects the Nation through the coordinated use of integrated air and marine forces to detect, interdict, and prevent acts of terrorism and the unlawful movement of people, illegal drugs, and other contraband toward or across the borders of the United States. The CBP Office of Air and Marine's (OAM's) core competencies include air and marine interdiction, air and marine law enforcement, and air and national border domain security.

OAM has a staff of personnel, including pilots and aircrew, air and marine law enforcement officers, operations specialists, logistics and maintenance support personnel, and administrative personnel. Based on the FY 2013 request, mission critical assets would consist of 277 aircraft (including fixed wing, rotary helicopters, and unmanned aircraft systems), approximately 324 marine vessels, a national Air and Marine Operations Center (AMOC), fixed and mobile surveillance equipment, ground vehicles, training facilities, maintenance facilities, aircraft hangars, and marine facilities located along all of the Nation's borders and at key interior support locations.

##### **B. Budget Activities:**

The Air and Marine Interdiction appropriation supports the Southwest Border, Northern Border, Coastal, and Source and Transit Zone subprograms within Line of Business (LOB) 1, Securing America's Borders. This LOB reflects CBP's core mission area of securing the border and preventing contraband, illegal migrants, terrorists and terrorist weapons from entering the United States. Included within this LOB are the people that perform the mission as well as air platforms, marine assets, technology, and equipment that they use. The subprograms that comprise the LOB are organized geographically, given the distinct threat environments of each area.

The Air and Marine Interdiction appropriation is comprised of two major accounts (or Program, Project, and Activities (PPAs): Operations and Maintenance and Procurement.

### Operations and Maintenance:

Operations and Maintenance funds provide logistics support – supply, maintenance, and training services – to operate and maintain aircraft and marine vessels. A combination of government and contractor logistics activities provide maintenance management, system support analysis, asset management, critical property, spare parts storage, inventory records management, and field services via a National Aircraft Maintenance contract and the National Marine Center (NMC). Aviation law enforcement training services are available by funding for the National Aircraft Training Center (NATC). Funding is also provided to the Federal Aviation Administration (FAA) to ensure that a Long Range Radar (LRR) capability is maintained and operated for joint Department of Defense (DOD)/Department of Homeland Security (DHS) use.

The Air and Marine Operations Center (AMOC) receives Operations and Maintenance funding. The AMOC provides detection, monitoring, sorting, tracking and coordination of law enforcement response to suspect airborne and maritime activity and is used to conduct airspace security, respond to natural disasters and act as the clearinghouse for information.

Operations and Maintenance funds also support field operating costs, including costs for Regional Director Offices, Air and Marine Branches, and Units, as well as headquarters operations and Field Centers, training and travel expenses, and fuel, which is a major portion of the field office expense.

### Procurement:

Procurement funds are used to buy new aircraft and marine vessels and recapitalize existing assets to extend their service lives and lower maintenance costs.

### **C. Budget Request Summary:**

DHS requests \$435.8 million for FY 2013 Air and Marine Interdiction. This request includes a non-recurring \$138.9 million for prior OAM procurement, a program change of \$5.8 million for Operations and Maintenance, and \$67.0 million for procurement of the following:

- \$28.1 million for P-3 Service Life Extension Program (SLEP)
- \$17.5 million for UH-60 A-L Black Hawk Recapitalization
- \$20.5 million for KA-350CER MEA
- \$0.9 thousand for Marine Vessels (various)

	<b>FY 2011 Enacted</b>		<b>FY 2012 Enacted</b>		<b>FY 2013 President's Budget</b>	
	Quantity	\$ in Millions	Quantity	\$ in Millions	Quantity	\$ in Millions
P-3 SLEP		47.70		42.00		28.10
New AS-350 Helicopters	8	38.40	6	36.80		None
MQ-9 Predator/Guardian UAS	1	18.00		4.00		None
UH-60 A-L Black Hawk Recap.	2	25.00	2	28.90	1	17.50
New UH-60M Black Hawk Helicopters		None		None		None
KA-350CER Multi-Role Enforcement Aircraft		None	1	22.50	1	20.50
UH-1 to Huey II Helicopter Recap.		None		None		None
C-550 Jet Interceptor Sensor Upgrades		None		None		None
Sensor Upgrades (SeaVue Radars/EOIR)	3	10.00		None		None
Marine Vessels (various)	6	6.50		4.70		0.90
AMOC Phase B		None		None		None
<b>Total</b>		<b>\$145.60</b>		<b>\$138.90</b>		<b>\$67.00</b>

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Customs and Border Protection Air and Marine Interdiction:

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Operations and maintenance	-	-	431,301	-	-	365,087	-	-	368,799	-	-	3,712	-	-	5,812	-	-	(2,100)
Procurement	-	-	196,065	-	-	138,879	-	-	66,970	-	-	(71,909)	-	-	66,970	-	-	(138,879)
<b>Total, Air and Marine Interdiction:</b>	-	-	<b>627,366</b>	-	-	<b>503,966</b>	-	-	<b>435,769</b>	-	-	<b>(68,197)</b>	-	-	<b>72,782</b>	-	-	<b>(140,979)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>627,366</b>	-	-	<b>503,966</b>	-	-	<b>435,769</b>	-	-	<b>(68,197)</b>	-	-	<b>72,782</b>	-	-	<b>(140,979)</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>627,366</b>	-	-	<b>503,966</b>	-	-	<b>435,769</b>	-	-	<b>(68,197)</b>	-	-	<b>72,782</b>	-	-	<b>(140,979)</b>

1. FY 2011 actuals includes funding from the FY 2010 Emergency Border Security Supplemental (P.L. 111-230)

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Operations and maintenance  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Operations and maintenance**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>431,301</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>365,087</b>
2013 Adjustments-to-Base	-	-	(2,100)
<b>2013 Current Services</b>	-	-	<b>362,987</b>
2013 Program Change	-	-	5,812
<b>2013 Total Requested Budget Authority</b>	-	-	<b>368,799</b>
Total Change 2012 to 2013	-	-	3,712

CBP requests \$368.8 million for Operations and Maintenance. The request includes:

- Decrease of -\$2,100,000 for consolidation of rent into the Rent PPA
- Increase of \$5,812,000 for an enhancement to Operations & Maintenance Support

**CURRENT SERVICES PROGRAM DESCRIPTION:**

CBP requests \$368.8 million for Operations and Maintenance to support the Southwest Border, Northern Border, Coastal, and Source and Transit Zone subprograms within Line of Business 1, Securing America’s Borders.

**Field Operations**

Operations and Maintenance funds provide logistics support – supply, maintenance, and training services – to operate and maintain aircraft and marine vessels. A combination of government and contractor logistics activities provide maintenance management, system support analysis, asset management, critical property, spare parts storage, inventory records management, and field services via a National Aircraft Maintenance contract and the National Marine Center. Aviation law enforcement training services are available by funding for the National Aircraft Training Center. Funding is also provided to the Federal Aviation Administration to ensure that a Long Range Radar is maintained and operated for joint Department of Defense/Department of Homeland Security use.

In FY 2011, OAM provided air support to the Office of Border Patrol (OBP) in the Arizona surge by providing resources to the Tucson and Yuma Air Branches. In FY 2012 and FY 2013, both air and marine operations will continue to expand along the Great Lakes, the northwestern, and northeastern maritime approaches to the Nation's borders, as additional aircraft and marine vessels are deployed. The delivery of new aircraft will provide increased tactical support to the Border Patrol along the southwest, northern, and southeast coastal borders as the number of agents on the ground increases. The UAS Program will expand its operations as additional systems are delivered and deployed. Within the southeast/coastal and source/transits zone AOR's, P-3 Airborne Early Warning (AEW) and long range tracker aircraft operations will increase as assets are delivered from extensive depot-level rework.

#### Marine Operations

Maritime demonstrations of UAS capabilities in the southeast coastal approaches to the U.S. have been conducted and CBP is in the process of establishing a permanent UAS Branch along the gulf coast and eastern shore of Florida. Marine operations in the Gulf of Mexico will be enhanced as new interceptor vessels replace the aging Black Night Interceptors and additional sea-borne radar platforms are acquired.

#### Strategic Intelligence, Surveillance, and Interdiction Capability

The UAS program will support CBP's efforts to maintain priority coverage along the southwest and northern borders and increase effectiveness at the southeast/coastal borders. Additionally, the UAS program supports Immigration and Customs Enforcement (ICE) investigative efforts, extends cross-border operations into the source and transit zones, as well as augments and enhances the crewed air and marine assets. The strategic plan currently calls for up to three squadrons of UASs to be deployed along the southwest border, northern border, southeast/coastal and source and transit zones operating areas. CBP's UAS program is the key element of the agency's strategic intelligence, surveillance, and interdiction capability.

CBP Air and Marine's total strategic intelligence, surveillance, and interdiction capability will include the P-3 Maritime Patrol Aircraft and the DHC-8/Q200 and Q300 Multi-Role Patrol Aircraft (MPA). The end-state objectives for the MPA changed when the manufacturer closed the DHC-8/Q300 production line in favor of a larger, more commercially viable DHC-8/Q400. OAM concluded that the larger Q400 was not suitable for its missions, and focused on the acquisition of a smaller, twin-engine, Multi-Role Enforcement Aircraft (MEA) capable of operating effectively over land and water.

#### Aged Aircraft Risk Management

CBP works to maintain its aging aircraft in order to keep pace with mission demands. To accomplish this, an aged aircraft investigation was conducted to determine how long selected assets, such as the OH-6 helicopters and C-12/C-12M aircraft, will remain operational. The aged aircraft investigation will help determine the operating life limitations of the aircraft types most at risk. Based on the results, a sustainment regimen will be established for each aircraft type that employs additional inspections, shortened maintenance intervals, and additional repairs. Along with the additional inspections and repairs, CBP will revise its maintenance reporting requirements to capture the data needed to identify key indicators of aged aircraft condition that would drive CBP to retire the aircraft from service. In accordance with House Report 111-157, as modified in the joint Conference Report 111-298, CBP provided the Committees on Appropriations in the House and the Senate with a briefing on its plans to



manage its aging aircraft, details of which are contained in the updated Strategic Air and Marine Implementation Plan submitted to the Committees on Appropriations in the House and the Senate.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Procurement  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Procurement**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>196,065</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>138,879</b>
2013 Adjustments-to-Base	-	-	(138,879)
<b>2013 Current Services</b>	-	-	-
2013 Program Change	-	-	66,970
<b>2013 Total Requested Budget Authority</b>	-	-	<b>66,970</b>
Total Change 2012 to 2013	-	-	(71,909)

CBP requests \$67.0 million for Procurement. The request includes:

- Increase of \$28.1 million for P-3 SLEP
- Increase of \$17.5 million for UH-60 A-L Black Hawk Recapitalization
- Increase of \$20.5 million for KA-350CER MEA
- Increase of \$0.9 million for Marine Vessels (various)
- Decrease of -\$138.9 million to non-recur the FY 2012 Air and Marine Procurement enhancements

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Procurement investment funds are used to procure new aircraft and marine vessels and recapitalize existing assets to extend their service lives and lower maintenance costs.

The budget requests \$67.0 million in Procurement to support the Southwest Border, Northern Border, Coastal, and Source and Transit Zone subprograms within Line of Business 1, Securing America's Borders.

### Aircraft Safety and Service Life Extension

The highest priority remains the P-3 SLEP since it rectifies serious flight safety concerns and provides an unmatched capability to interdict bulk drug shipments to Mexico through the source and transit zones. The average age of 49 percent of CBP's aircraft is 33 years, and the average age of the aircraft in the P-3 fleet is over 40 years old. The P-3 SLEP began with the repair of fleet-wide wing stress cracks and the development of the requirements for extending the lives of the 16 P-3 aircraft by 20 years. A total of nine wing kits have been procured to date. In total, CBP plans to send 14 of its 16 P-3s through SLEP. The remaining two platforms may also go through SLEP, pending decisions.

### Air Recapitalization and Modernization

The present air fleet consists of 19 different aircraft types. Currently, seven of ten aircraft types have exceeded their normal service life expectancy, some by nearly two times the industry average. The impact has been an unavoidable loss of operational readiness, as a result of additional maintenance down time due to increased inspections and a shrinking pool of spare parts. To accomplish its border security, anti-drug, and customs and immigration enforcement missions, CBP requires a more flexible and supportable air fleet. To this end, the air fleet is being standardized, and will emphasize the use of multi-mission assets that can be deployed to multiple locations as the threat changes over time. The strategic objective is to reduce the types of aircraft used to eight or nine, and to increase the total number of aircraft to a level consistent with operational demands. The total will likely change over time, as the nature of the threat changes; therefore, the CBP strategic plan and end-state model will be updated accordingly.

### Marine Recapitalization and Modernization

A portion of marine funding was used to acquire an Advanced Concept Technology Demonstration (ACTD) vessel for a new class of fast coastal interceptors. The results of the ACTD effort have enabled CBP to define its requirements for a highly capable replacement for the currently employed slower, aging Midnight Express Interceptors. In FY 2010, using the information learned from the Demonstration Evaluation of the ACTD, OAM initiated an effort to procure a new Coastal Interceptor Vessel (CIV) that will improve mission effectiveness and enhance officer safety. In January 2012, CBP awarded a contract for up to 70 CIV's. The CIV will be the replacement of the aging Interceptor "go-fast" fleet. CBP has also awarded a contract in September 2011 for the Riverine Shallow Draft Vessel (RSVD) which will enable CBP agents to pursue suspects across extremely shallow water and small sand bars at high speeds. The contract award is for up to 80 RSVD's.

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for P-3 SLEP  
PPA: Procurement  
Program Increase: Positions 0, FTE 0, Dollars \$28,070

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	28,070
<b>Total Request</b>	-	-	<b>196,065</b>	-	-	<b>138,879</b>	-	-	<b>28,070</b>

### Description of Item

The budget requests \$28.1 million for the P-3 Service Life Extension Program

### Justification

CBP's P-3 aircraft are high-endurance, all-weather, tactical turbo-prop aircraft, which are utilized primarily for long-range patrols along the entire U.S. border, near choke points off the coast of source and transit zone countries, and throughout Central and South America. It is the primary DHS asset used to detect and target bulk drug shipments carried by self-propelled semi-submersible vessels. The aircraft provides advanced sensor capabilities, can track and identify targets over extended periods, and remains vital to Joint Interagency Taskforce South (JIATF-S) support. In short, the P-3 provides mission support capabilities beyond those of any other aircraft available to law enforcement. Each P-3 airframe is over 40 years old. The two-phase SLEP that will eventually add another 18 years (15,000 flight hours) to 14 of the 16 aircraft in the inventory (two aircraft have sufficient remaining service life to forgo the SLEP). The first phase consisted of special structural inspections and repairs that enabled CBP to keep some aircraft available for its ongoing mission. To date, CBP has returned 12 aircraft to full operation, and four aircraft have completed the final wing and tail replacement. The second phase consists of wing and tail replacements and other upgrades needed to keep the aircraft in service for most of the next two decades.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

CBP's P-3 aircraft is the most successful surveillance and interdiction asset in DHS, having disrupted hundreds of thousands of pounds of bulk drug shipments to Mexico and the U.S. and detected 87 percent of the self-propelled semi-submersible vessels captured in the source and transit zones. OAM P-3s provide more counter-narco-terrorism and counter-drug air mission hours for JIATF-S than any other partner agency; in FY 2010 approximately 72 percent of OAM P-3 funded flight time was flown in direct support of the JIATF-S mission set. Despite increasing operational demands placed upon a limited air wing, a record total of 7,399.5 mission flight hours were flown in support of JIATF-S in FY 2011. CBP P-3's were directly responsible for disrupting over 500,000 pounds of bulk drugs over the past four years. This accomplishment represents a full 1,000 hours plus over the previous year's effort flown in support of counter-drug operations in the JIATF-S Area of Operations (AOR). Without funding to SLEP the remaining P-3 aircraft, OAM will be required to decrease operational support to the JIATF-S mission.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for UH-60 A-L Black Hawk Recapitalization  
PPA: Procurement  
Program Increase: Positions 0, FTE 0, Dollars \$17,500

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	17,500
<b>Total Request</b>	-	-	<b>196,065</b>	-	-	<b>138,879</b>	-	-	<b>17,500</b>

**Description of Item**

The budget requests \$17.5 million for UH-60 A-L Black Hawk Recapitalization.

**Justification**

UH-60A Black Hawk medium lift helicopters (MLH) perform missions such as border security, insertion of agents in remote areas and rapid-response to acts of terrorism, natural disasters and other emergencies.

The MLH modernization program envisions a fleet of new or refurbished UH-60 helicopters equipped with Electro-optical/Infrared (EO/IR) sensors, secure communications, weather radar, video data downlinks and essential law enforcement equipment.

- Four new UH-60M helicopters are due for delivery between April 2011 and August 2012.
- Three of 16 UH-60A to L conversions were requested in FY 2011 and two in FY 2012. CBP obtains a “zero-time” UH-60L aircraft for \$17.5 million each, based on aircraft condition.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The UH-60 Black Hawk Medium Lift Helicopter is the most capable and rugged helicopter in the CBP inventory; it is the best suited for dangerous operations in a hostile environment. CBP has two recapitalizations in production under an Army contract with the original aircraft manufacturer.

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for KA-350CER MEA  
PPA: Procurement  
Program Increase: Positions 0, FTE 0, Dollars \$20,500

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	20,500
<b>Total Request</b>	-	-	<b>196,065</b>	-	-	<b>138,879</b>	-	-	<b>20,500</b>

**Description of Item**

The budget requests \$20.5 million for a KA-350CER Multi-Role Enhancement Aircraft

**Justification**

In response to the loss of DHC-8 production capability, OAM awarded a contract for up to 30 modified King Air 350CER MEA. The new MEA is a highly versatile aircraft with a broad area search radar, day/time camera system, signals direction finding equipment, and satellite communications capability. It can be employed on all borders, above the land borders and along the maritime approaches to the U.S. The projected requirements include 50 MEA aircraft to cover the planned retirements of its aging C-12/C-12M, PA-42 and B200 aircraft that are experiencing increasing stress, fatigue, corrosion, and supportability issues and to make up for the shortfall in DHC-8 assets. CBP awarded a contract for up to 30 MEAs. Funds are available for five aircraft, the first of which was delivered in early calendar year 2011 to the Tucson Sector.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The KA-350CER Multi-Role Enforcement Aircraft is the most capable new, twin-engine patrol aircraft to be purchased by CBP. A contract for 30 aircraft is in place, against a total requirement for 50 aircraft, with the first two to be delivered in December 2011. CBP has not ordered any new MEAs in three years. With the additional funding for one MEA provided in the FY 2012 Appropriation, CBP

will need a second MEA funded as shown in the FY 2013 President's request to keep the production line open through FY 2013



**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for Marine Vessels (various)  
PPA: Procurement  
Program Increase: Positions 0, FTE 0, Dollars \$900

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	900
<b>Total Request</b>	-	-	<b>196,065</b>	-	-	<b>138,879</b>	-	-	<b>900</b>

**Description of Item**

Funding of \$900 thousand for vessels in FY 2013 will allow CBP to procure one Coastal Interceptor Vessel (CIV) and up to three Riverine Shallow Draft Vessels (RSDV).

**Justification**

OAM was given the responsibility to organize, train, and equip marine operations falling under OAM, the Office of Border Patrol and the Office of Field Operations, and to assume control of operations in the coastal and Great Lakes regions, in August of 2006. In February 2008, OAM reported its first revision of the Strategic Plan for Air and Marine to the Committees on Appropriations. The revised plan contained a broad approach for enhancing marine operating capabilities by expanding the number of marine units along the Northern Border and Southeast Coastal operating areas, increasing the number of Marine Interdiction Agents (MIAs) and support personnel, and increasing the number of marine vessels. The number and types of vessels to be acquired was based on operating environment and the planned operating tempo for each CBP marine unit, and the need to replace some existing assets deemed to be of limited value due to age, capability, and/or safety.

In FY 2008 and FY 2009, Congress provided funding for 11 new marine units, 197 new marine agents, and 59 new marine vessels, including 14 new interceptors, of which six would be Interim Coastal Interceptors. A portion of marine funding was used to acquire an Advanced Concept Technology Demonstration (ACTD) vessel for a new class of fast coastal interceptors. The results of the ACTD effort have enabled CBP to define its requirements for a highly capable replacement for the currently

employed slower, aging Midnight Express Interceptors. In FY 2010, using the information learned from the Demonstration Evaluation of the ACTD, OAM initiated an effort to procure a new Coastal Interceptor Vessel (CIV) that will improve mission effectiveness and enhance officer safety. In January 2012, CBP awarded a contract for up to 70 CIV's. The CIV will be the replacement of the aging Interceptor "go-fast" fleet. CBP has also awarded a contract in September 2011 for the Riverine Shallow Draft Vessel (RSVD) which will enable CBP agents to pursue suspects across extremely shallow water and small sand bars at high speeds. The contract award is for up to 80 RSVD's.

**Impact on Performance (Relationship of increase to strategic goals)**

Over the past few years CBP has been funded to hire 197 Marine Interdiction Agents (MIAs) however; many of these agents are currently in a training status and remain uncertified to serve as vessel commanders. The current number of vessels on-hand is not adequate to support the increase of MIAs once they are all fully trained and certified. Additional certified vessel commanders require additional vessels to meet CBPs planned operating tempo.

As CBP approaches its personnel end states, the vessel increases will provide for the deployment of multiple vessels during each shift, allowing for greater coverage and enhanced security. (Note: A minimum crew of two is required however; a crew of three is preferred).

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Enhancement for Operations & Maintenance Support  
PPA: Operations and maintenance  
Program Increase: Positions 0, FTE 0, Dollars \$5,812

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	362,987
Program Increase							-	-	5,812
<b>Total Request</b>	-	-	<b>431,301</b>	-	-	<b>365,087</b>	-	-	<b>368,799</b>

**Description of Item**

Customs and Border Protection (CBP) requests a \$5.812 million increase to Air and Marine Operations and Maintenance (O&M).

**Justification**

OAM leverages several capabilities to successfully perform Reconnaissance, Surveillance, and Target Acquisition (RSTA) missions in support of OAM’s law enforcement partners. One of these cornerstone RSTA capabilities is the CBP Unmanned Aircraft System (UAS). CBP is the only federal law enforcement agency routinely operating advanced UAS; the Predator B and its maritime variant called the Guardian. The UAS is a strategic asset for homeland security operating at and beyond the Nation’s borders to detect, identify, track, and cue the interdiction of threats to the United States. The UAS is also the only covert, long dwell reconnaissance asset OAM operates capable of operating in hazardous situations while transmitting video and radar data in near-real-time to agents, analysts, and operators across the US Government. OAM is adding this asset to the source/transit zone counter narcotics fight. CBP’s Guardian UAS is equipped with highly effective maritime surveillance radar capable of detecting and sorting surface vessels, to include TCO semi-submersible vessels. The radar is coupled with high-resolution electro-optical and infrared sensors, making the Guardian a first of its kind and significantly increasing maritime domain awareness to aid in combating transnational smuggling.

The OAM Predator B program continues to expand its operational reach and effectiveness as new FAA COA’s allow greater coverage of both the Southern and Northern Borders. By FY 2013, 10 complete systems will be in operation. OAM expects to fly a combined 8,500 UAS flight hours across our 10

systems in FY 2013. The \$5.8M O&M increase will ensure that a consistent flight program can be supported through FY 2013, especially for the highest priority missions along the Southwest Border.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The increase of \$5.8M to aircraft operations and maintenance will provide support the 10 unmanned aircraft systems that will be fully operational for all of FY 2013, at roughly the same flight hour levels expected to be flown in FY 2012.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

For necessary expenses for the operations, maintenance, and procurement of marine vessels, aircraft, unmanned aircraft systems, and other related equipment of the air and marine program, including operational training and mission-related travel, the operations of which include the following: the interdiction of narcotics and other goods; the provision of support to Federal, State, and local agencies in the enforcement or administration of laws enforced by the Department of Homeland Security; and, at the discretion of the Secretary of Homeland Security, the provision of assistance to Federal, State, and local agencies in other law enforcement and emergency humanitarian efforts, [\$503,966,000] \$435,769,000, to remain available until September 30, [2014] 2015: Provided, That no aircraft or other related equipment, with the exception of aircraft that are one of a kind and have been identified as excess to U.S. Customs and Border Protection requirements and aircraft that have been damaged beyond repair, shall be transferred to any other Federal agency, department, or office outside of the Department of Homeland Security during fiscal year [2012] 2013 without the prior [approval of] notice to the Committees on Appropriations of the Senate and the House of Representatives: Provided further, That the Secretary of Homeland Security shall report to the Committees on Appropriations of the Senate and the House of Representatives, not later than 90 days after the date of enactment of this Act, on the update to the 5-year strategic plan for the air and marine program directed in conference report 109-241 accompanying Public Law 109-90 that addresses missions, structure, operations, equipment, facilities, and resources including deployment and command and control requirements, and includes a recapitalization plan with milestones and funding, and a detailed staffing plan with associated costs to achieve full staffing to meet all mission requirements.(Department of Homeland Security Appropriations Act, 2012.)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	-	-	<b>627,366</b>
<b>FY 2012 Enacted Budget Authority</b>	-	-	<b>503,966</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer to Further Consolidate CBP Rent Program	-	-	(2,100)
<b>Total, Transfers</b>	-	-	<b>(2,100)</b>
<b>Decreases</b>	-	-	-
Fully non-recur FY 2012 Enacted Air & Marine Procurement	-	-	(138,879)
<b>Total, Decreases</b>	-	-	<b>(138,879)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(140,979)</b>
<b>FY 2013 Current Services</b>	-	-	<b>362,987</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Enhancement for KA-350CER MEA	-	-	20,500
Enhancement for Marine Vessels (various)	-	-	900
Enhancement for Operations & Maintenance Support	-	-	5,812
Enhancement for P-3 SLEP	-	-	28,070
Enhancement for UH-60 A-L Black Hawk Recapitalization	-	-	17,500
<b>Total, Increases</b>	-	-	<b>72,782</b>
<b>Total, Program Changes</b>	-	-	<b>72,782</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>435,769</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(68,197)</b>

1. FY 2011 actuals includes funding from the FY 2010 Emergency Border Security Supplemental (P.L. 111-230)

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	-	-	627,366
<b>FY 2012 Enacted Budget Authority</b>	-	-	503,966
<b>Adjustments-to-Base</b>	-	-	-
Transfers	-	-	(2,100)
Decreases	-	-	(138,879)
<b>Total, Adjustments-to-Base</b>	-	-	<b>(140,979)</b>
<b>FY 2013 Current Services</b>	-	-	362,987
<b>Program Changes</b>	-	-	-
Increases	-	-	72,782
<b>Total, Program Changes</b>	-	-	<b>72,782</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	435,769
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(68,197)</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Operations and maintenance	-	-	365,087	-	-	(2,100)	-	-	5,812	-	-	368,799	-	-	3,712
Procurement	-	-	138,879	-	-	(138,879)	-	-	66,970	-	-	66,970	-	-	(71,909)
<b>Total</b>	-	-	<b>503,966</b>	-	-	<b>(140,979)</b>	-	-	<b>72,782</b>	-	-	<b>435,769</b>	-	-	<b>(68,197)</b>

1. FY 2011 actuals includes funding from the FY 2010 Emergency Border Security Supplemental (P.L. 111-230)

## **D. Summary of Reimbursable Resources**

Not Applicable



## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	17,901	29,775	29,000	(775)
22.0 Transportation of things	980	2,444	2,400	(44)
23.1 GSA rent	10	3	-	(3)
23.2 Other rent	2,446	164	-	(164)
23.3 Communications, utilities, and misc. charges	7,525	8,351	5,900	(2,451)
25.1 Advisory and assistance services	11,344	13,672	11,157	(2,515)
25.2 Other services	32,996	34,833	29,893	(4,940)
25.3 Purchases from Gov't accts.	63,797	41,521	37,682	(3,839)
25.4 O&M of facilities	7,052	4,104	3,579	(525)
25.6 Medical care	44	44	42	(2)
25.7 Operation and maintenance of equipment	218,950	195,150	137,972	(57,178)
26.0 Supplies and materials	138,667	117,764	103,416	(14,348)
31.0 Equipment	125,225	134,416	74,728	(59,688)
32.0 Land & structures	429	42	-	(42)
<b>Total, Other Object Classes</b>	<b>627,366</b>	<b>582,283</b>	<b>435,769</b>	<b>(146,514)</b>
<b>Total, Direct Obligations</b>	<b>627,366</b>	<b>582,283</b>	<b>435,769</b>	<b>(146,514)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(78,317)	-	78,317
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(78,317)</b>	<b>-</b>	<b>78,317</b>
<b>Total Requirements</b>	<b>627,366</b>	<b>503,966</b>	<b>435,769</b>	<b>(68,197)</b>
<b>Full Time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

Not Applicable

## G. Capital Investment and Construction Initiative Listing

INITIATIVE NAME	FY 2013 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Total	In MCL	New Initiative	Budget Activity	Program/s Name
Strategic Air Plan	66,970	66,970	\$0	CBP0002.03	CBP – Strategic Air Plan
	\$0	\$0	\$0		
Total Non- IT investments \$5 million or more	66,970	66,970	\$		
Total Non-IT initiatives under \$5 million	\$0	\$0	\$0		
Total Non-IT Investments	66,970	66,970	\$0		
Total of IT Investments	\$0	\$0	\$0		
◆◆					
Total all IT and Non-IT	66,970	66,970	\$0		

### 1. Project Description, Justification and Scope

#### Project Description

In the summer of 2006, CBP OAM developed and submitted to Congress a Strategic Air Plan that defines the end state for the air force based on ongoing threat assessments and mission requirements determined by higher authority. In 2007, this Plan was updated to incorporate Marine vessels and UAS. The UAS PPA was formally merged into the CBP OAM Procurement PPA in FY 2007.

The Plan calls for the air and marine fleets to be standardized, emphasizing the use of multi-mission assets that can be deployed to multiple locations as the threat changes over time. The OAM Procurement PPA non-recurs each fiscal year and is used to acquire new aircraft and marine vessels, UAS, retire unserviceable assets, upgrade sensors and surveillance capabilities, and support the expansion of mission capabilities along the borders in response to ongoing threat assessments and mission assignments directed by higher authority.

### **Program Justification**

CBP protects the American people and Nation's critical infrastructure through the coordinated use of integrated air and marine force to detect, interdict and prevent acts of terrorism and the unlawful movement of people, illegal drugs and other contraband toward or across the borders of the United States. Terrain, weather, and distance are significant obstacles along much of the southern, northern, and coastal borders. CBP OAM support acts as a force multiplier, allowing personnel and equipment to be transported efficiently and effectively. This support also provides rapid-response relocation of personnel and equipment, to safeguard people and critical infrastructure from acts of terrorism, natural disasters and other emergencies. The Air Safety and Life Extension Contract support the aircraft that makes it possible for CBP OAM to perform this mission.

### **2. Significant Changes**

The funds requested will enable continued support for program operations through FY 2013.

- **Project Schedule**

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Aircraft Acquired	2	6	8	7	2
UAS Acquired	1	0	1	0	0
Vessels Acquired	18	29	30	4	4

### **4. Schedule of Project Funding (Dollars in Thousands)**

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	Total
Appropriation	144,395	138,879	66,970	\$350,244
Obligation (planned)	196,065	138,879	66,970	\$401,914
Expenditure (planned)	196,065	138,879	66,970	\$401,914

### **5. Cost Estimate Detail and Changes (Dollars in Thousands)**

Not Applicable

### **6. Method of Performance**

1. Is there a project (investment) manager assigned to the investment?

Yes

If so, what is his/her name?

John A. Wells

2. Is there a contracting officer assigned to the investment?

Yes

If so, what is his/her name?

Susan Baptist

3. Is there an Integrated Project Team (IPT)?

Yes

If so, list the skill set represented.

The IPT is comprised of individuals from the CBP Office of Air and Marine, Office of Administration, Office of Information and Technology, Technology Systems Program Office), Office of Chief Counsel, Office of Technology Innovation and Acquisition, and Office of Border Patrol representing systems acquisition, project management, systems engineering, legal review and test and acceptance.

4. Is there a sponsor/owner for this investment?

Yes

If so, identify the sponsor/process owner by name and title and provide contact information.

Michael C. Kostelnik, Assistant Commissioner, Office of CBP Air & Marine, (202) 344-3950.

<b>Fiscal Year</b>	<b>Strategic Goal(s) Supported</b>	<b>Performance Measure / Type</b>	<b>Explanation or Description</b>	<b>Target or Goal</b>	<b>Actual Performance Results</b>	<b>Performance Metric Improvement</b>
2011	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Percent of detected conventional aircraft incursions resolved along all borders of the United States  Long Term/ Output	This measure shows the percent of conventional aircraft that once detected are suspected of illegal cross - border activity and are brought to a successful law enforcement resolution. The Office of Air and Marine (OAM) determines whether an incursion is legal or illegal. If illegal, the Office of Air and Marine operations continue through the apprehension phase to successfully resolve the incursion.	2011 – 100%	95.3%	OAM will evaluate and improve tactics, techniques, and procedures where possible in order to bring individuals that commit illegal incursions to a successful law enforcement resolution.
2011	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs,	Percent of air support launches accomplished to support Homeland Security missions  Long Term/ Output	A primary and important measure for Air and Marine is its capability to launch an aircraft when a request is made for aerial support. This measure	2011 - >95%	84%	OAM will determine whether additional funding should be requested in the budget in the future for aircraft maintenance

	and other Illegal Activity		captures the percent of all requests made for air support to which the program was able to respond.			
2011	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Percent of detected non- compliant maritime vessels resolved before reaching U.S. border shoreline	Maritime entry upon U.S. soil is considered a failure under the previous Administrations Maritime Domain Awareness Program as the one vessel that touches shore could contain a Weapon of Mass Destruction. The measure will be increasing the percentage of non-compliant vessels resolved before reaching U.S. border shoreline. In the past, this measure was stated as the actual number of forcible stops only, which does not answer the question of how many non- compliant vessels were stopped but resolved.	>95%	88.80%	

2011	DHS Prevention Goal 2 and Objective 2.1 Secure our Borders Against Terrorists, Means of Terrorism, Illegal Drugs, and other Illegal Activity	Percent of Joint Interagency Task Force – South (JIATF-S) annual mission hour objective achieved	CBP Air and Marine’s core competencies are air and marine interdiction, air and marine law enforcement, and air domain security. In this capacity, the Office of Air and Marine (OAM) targets the conveyances that illegally transport narcotics, arms, and aliens across our borders and in the Source, Transit and Arrival Zones. In support of Source and Transit Zone interdiction operations, the Air and Marine Strategic Air Asset Program (P-3, Dash 8, Chet, and C12M fixed wing aircraft, Blackhawk rotor wing and Guardian UAS) have a dedicated minimum of 7,200 hours a year in support of Joint Interagency Task Force – South.	100%	100%	
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- **Related Annual Funding Requirements**  
(Dollars in Thousands)

	FY 2013	
	Current Estimate	Previous Estimate
Procurement	\$66,970	\$66,970

**8. Budget Allocation to Programs**

Program	Allocated Budget (\$ thousands)		
	FY 2011	FY 2012	FY 2013
Procurement	\$144,395	\$138,879	\$66,970

**9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders**

- 40 CFR (all parts) – Code of Federal Regulations, Protection of the Environment (latest version)
- Executive Order 12144 – Environmental Effects Abroad of Major Federal Actions
- Executive Order 13148 – Greening of the Government Through Leadership in Environmental Management

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Air and Marine Interdiction:  
Procurement**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
22.0 Transportation of things	5	2	-	(2)
23.1 GSA rent	9	3	-	(3)
23.2 Other rent	225	68	-	(68)
23.3 Communications, utilities, and misc. charges	96	29	-	(29)
25.1 Advisory and assistance services	227	2,034	-	(2,034)
25.2 Other services	-	3,511	-	(3,511)
25.3 Purchases from Gov't accts.	-	1,076	-	(1,076)
25.4 O&M of facilities	842	256	-	(256)
25.7 Operation and maintenance of equipment	50,843	55,711	-	(55,711)
26.0 Supplies and materials	24,744	9,415	-	(9,415)
31.0 Equipment	118,985	126,388	66,970	(59,418)
32.0 Land & structures	89	27	-	(27)
<b>Total, Other Object Classes</b>	<b>196,065</b>	<b>198,520</b>	<b>66,970</b>	<b>(131,550)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(59,641)	-	59,641
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(59,641)</b>	-	<b>59,641</b>
<b>Total Requirements</b>	<b>196,065</b>	<b>138,879</b>	<b>66,970</b>	<b>(71,909)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Procurement Mission Statement

The Office of Air & Marine (OAM) is responsible for the protection of the borders of the United States. OAM identifies, deters, interdicts, and investigates acts of terrorism and smuggling arising from unlawful movement of people and goods into and out of the United States with an integrated and coordinated air and marine force. OAM has historically conducted missions along the southern borders of the United States, Mexico, South America and the Caribbean. Since September 11, 2001, OAM has established a presence along the northern border. OAM has a staff of over 1,865 pilots, law enforcement officers, operational support, and administrative positions. Mission critical assets consist of aircraft (including fixed wing and rotary helicopters), marine vessels, P-3 surveillance aircraft, surveillance equipment, maintenance facilities and hangers. With the transfer of the Unmanned Aircraft Vehicles (UAS) and Border Patrol assets, U. S. Customs and Border Protection (CBP) has been able to achieve increased effectiveness and economies of scale in the operation, procurement and maintenance of CBP's assets.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$5	\$2	0	-\$2

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$9	\$3	0	-\$3

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$225	\$68	0	-\$68

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$96	\$29	0	-\$29

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$227	\$2,034	0	-\$2,034

In FY 2013, a decrease of -\$1,965,000 is to fully non-recur FY 2012 Enacted Air & Marine Procurement

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$3,511	0	-\$3,511

In FY 2013, a decrease of -\$3,511,000 is to fully non-recur FY 2012 Enacted Air & Marine Procurement

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	\$1,076	0	-\$1,076

In FY 2013, a decrease of -\$1,076,000 is to fully non-recur FY 2012 Enacted Air & Marine Procurement

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$842	\$256	0	-\$256

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$50,843	\$55,711	0	-\$55,711

In FY 2013, a decrease of -\$40,245,000 is to fully non-recur FY 2012 Enacted Air & Marine Procurement

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$24,744	\$9,415	0	-\$9,415

In FY 2013, a decrease of -\$1,888,000 is to fully non-recur FY 2012 Enacted Air & Marine Procurement

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$118,985	\$126,388	\$66,970	-\$59,418

In FY 2013, a decrease of -\$90,194,000 is to fully non-recur FY 2012 Enacted Air & Marine Procurement In FY 2013, an increase of \$17,500,000 is an enhancement for UH-60 A-L Black Hawk Recapitalization. In FY 2013, an increase of \$20,500,000 is an enhancement for KA-350CER MEA. In FY 2013, an increase of \$28,070,000 is an enhancement for P-3 SLEP. In FY 2013, an increase of \$900,000 is an enhancement for marine vessels.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$89	\$27	0	-\$27

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Air and Marine Interdiction:**  
**Operations and maintenance**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	17,901	29,775	29,000	(775)
22.0 Transportation of things	975	2,442	2,400	(42)
23.1 GSA rent	1	-	-	-
23.2 Other rent	2,221	96	-	(96)
23.3 Communications, utilities, and misc. charges	7,429	8,322	5,900	(2,422)
25.1 Advisory and assistance services	11,117	11,638	11,157	(481)
25.2 Other services	32,996	31,322	29,893	(1,429)
25.3 Purchases from Gov't accts.	63,797	40,445	37,682	(2,763)
25.4 O&M of facilities	6,210	3,848	3,579	(269)
25.6 Medical care	44	44	42	(2)
25.7 Operation and maintenance of equipment	168,107	139,439	137,972	(1,467)
26.0 Supplies and materials	113,923	108,349	103,416	(4,933)
31.0 Equipment	6,240	8,028	7,758	(270)
32.0 Land & structures	340	15	-	(15)
<b>Total, Other Object Classes</b>	<b>431,301</b>	<b>383,763</b>	<b>368,799</b>	<b>(14,964)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(18,676)	-	18,676
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(18,676)</b>	-	<b>18,676</b>
<b>Total Requirements</b>	<b>431,301</b>	<b>365,087</b>	<b>368,799</b>	<b>3,712</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Operations and maintenance Mission Statement**

The Office of Air & Marine (OAM) is responsible for the protection of the borders of the United States. OAM identifies, deters, interdicts, and investigates acts of terrorism and smuggling arising from unlawful movement of people and goods into and out of the United States with an integrated and coordinated air and marine force. OAM has historically conducted missions along the southern borders of the United States, Mexico, South America and the Caribbean. Since September 11, 2001, OAM has established a presence along the northern border. OAM has a staff of over 1,865 pilots, law enforcement officers, operational support, and administrative positions. Mission critical assets consist of aircraft (including fixed wing and rotary helicopters), marine vessels, P-3 surveillance aircraft, surveillance equipment, maintenance facilities and hangers. With the transfer of the Unmanned Aircraft Vehicles (UAS) and Border Patrol assets, U. S. Customs and Border Protection (CBP) has been able to achieve increased effectiveness and economies of scale in the operation, procurement and maintenance of CBP's assets.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$17,901	\$29,775	\$29,000	-\$775

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$975	\$2,442	\$2,400	-\$42

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$2,221	\$96	0	-\$96

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$7,429	\$8,322	\$5,900	-\$2,422

In FY 2013, a decrease of -\$2,100,000 is a transfer to further consolidate the CBP rent program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$11,117	\$11,638	\$11,157	-\$481

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$32,996	\$31,322	\$29,893	-\$1,429

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$63,797	\$40,445	\$37,682	-\$2,763

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$6,210	\$3,848	\$3,579	-\$269

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$44	\$44	\$42	-\$2

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$168,107	\$139,439	\$137,972	-\$1,467

In FY 2013, an increase of \$5,812,000 is an enhancement for Operations & Maintenance Support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$113,923	\$108,349	\$103,416	-\$4,933

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$6,240	\$8,028	\$7,758	-\$270

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$340	\$15	0	-\$15

## **I. Changes In Full Time Employment**

Not Applicable



**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

Not Applicable

**K. DHS Balanced Workforce Strategy**

Not Applicable

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
COBRA Passenger Inspection Fee*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection COBRA Passenger Inspection Fee**

#### **I. Appropriation Overview**

##### **A. Mission Statement for COBRA Passenger Inspection Fee**

The *Consolidated Omnibus Budget Reconciliation Act of 1985* (P.L. 99-272; COBRA) created a series of user fees to recover costs incurred by U.S. Customs and Border Protection (CBP). P.L. 99-272, codified as 19 U.S.C. 58c (a)(1-8), established processing fees for air and sea passengers, commercial trucks, railroad cars, private aircraft and vessels, commercial vessels, dutiable mail packages, broker permits, barges and bulk carriers from Canada and Mexico, cruise vessel passengers, and ferry vessel passengers.

Collections from the COBRA user fees are made available through permanent/indefinite appropriation created by the aforementioned user fee statute. The fees are deposited in the Customs User Fee Account (No Year) at the U.S. Treasury. Collections are available without fiscal year limitation. COBRA user fees support the following strategic goals: CBP Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; CBP Goal 2, Ensure the Efficient Flow of Legitimate Trade and Travel Across U.S. Borders; Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Borders; and Quadrennial Homeland Security Goal 2.2, Safeguard Lawful Trade and Travel.

##### **B. Budget Activities**

COBRA collections fund the salaries and benefits of Customs and Border Protection Officers (CBPOs) that ensure all carriers, passengers, and their personal effects entering the United States are compliant with U.S. customs laws. To the extent that revenues are available, the estimated Fiscal Year (FY) 2013 collections will fund the activities in the COBRA statute. However, the fees are not set to be full cost recovery. Therefore, the estimated collections will not fully fund the authorized activities.

The *Trade Act 2002* (P.L. 107-210) section 337, codified as 19 USC 58c (b)(9)(A) (ii) and (b) (9)(B), authorized the establishment of the Express Consignment Courier Facilities (ECCF) fee to reimburse CBP for the processing costs incurred at those facilities. The original fee was set at 66 cents per individual airway bill or bill of lading and was later increased to \$1 effective July 2008. Congress also mandated that 50 percent of the ECCF fee collection be transferred to Treasury's General Fund. Because the ECCF fees are deposited in the Customs User Fee Account, for budgetary purposes, they are reported as part of the COBRA user fees.

COBRA activities support the following CBP Lines of Business (LOBs):

- LOB 2, Securing and Facilitating Flows of Cargo, in which COBRA has the greatest impact on subprogram 3, Advance National and Economic Security, and subprogram 5, Cargo/Conveyance Entry;

- LOB 3, Securing and Facilitating Flows of People, in which all subprograms are supported by COBRA, to include Pre-Arrival Processing, Inbound Inspection, and Outbound Inspection;
- LOB 5, Mission Support, to include rent, travel, and contractual services; and
- LOB 6, Enterprise Business Services, to include salaries, benefits, and expenses (such as equipment, communication, and contractual services) for managing IT infrastructure.

### **C. Budget Request Summary**

CBP requests 1,683 positions, 1,683 full-time equivalent employees, and \$529.352 million in FY 2013 for COBRA user fees and the ECCF fees to partially recoup the costs incurred for performing COBRA- related inspections. The order of reimbursement is noted as follows:

- All inspectional overtime;
- Premium pay;
- Civil Service Retirement and Disability Fund (agency contribution);
- Excess preclearance;
- Foreign language proficiency awards; and
- Enhanced equipment and support.

CBP projected FY 2013 collections by applying global economic growth figures released by the Office of Management and Budget. Because historical revenue trends show that fluctuations in collections from the ECCF fee are correlated with collections from air passenger fees, CBP used the same anticipated economic growth rates to project revenues from this fee.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**COBRA passenger inspection fee**  
 Summary of FY 2013 Budget Estimates by Program Project Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
COBRA passenger inspection fee	1,683	1,683	411,682	1,683	1,683	494,937	1,683	1,683	529,352	-	-	34,415	-	-	34,415	-	-	-
<b>Subtotal, Mandatory</b>	<b>1,683</b>	<b>1,683</b>	<b>411,682</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>	<b>1,683</b>	<b>1,683</b>	<b>529,352</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total, COBRA passenger inspection fee</b>	<b>1,683</b>	<b>1,683</b>	<b>411,682</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>	<b>1,683</b>	<b>1,683</b>	<b>529,352</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>1,683</b>	<b>1,683</b>	<b>411,682</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>	<b>1,683</b>	<b>1,683</b>	<b>529,352</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>-</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>1,683</b>	<b>1,683</b>	<b>411,682</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>	<b>1,683</b>	<b>1,683</b>	<b>529,352</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>-</b>	<b>-</b>	<b>-</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
COBRA passenger inspection fee  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: COBRA passenger inspection fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,683</b>	<b>1,683</b>	<b>411,682</b>
<b>2012 Enacted Budget Authority</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>
<b>2013 Current Services</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>
2013 Program Change	-	-	34,415
<b>2013 Total Requested Budget Authority</b>	<b>1,683</b>	<b>1,683</b>	<b>529,352</b>
Total Change 2012 to 2013	-	-	34,415

#### CURRENT SERVICES PROGRAM DESCRIPTION

The components of the COBRA User Fees account are: international air and sea passenger; commercial trucks; loaded/partially loaded rail cars; commercial vessels; private aircraft and vessels; dutiable mail; customs broker permits; barges/bulk carriers; cruise vessel passenger fees; and express consignment carrier fees. However, the current fee levels are not set to recover the full costs. The remaining costs will be funded by direct appropriations.

Effective November 5, 2011 certain North American Free Trade Agreement customs fees exemption fees were eliminated. Section 601 of the *United States-Columbia Trade Promotion Agreement Implementation Act* (P.L. 112-42) lifted the exemption that excluded air and sea passengers from Canada, Mexico, and the Adjacent Islands<sup>1</sup> from having to pay the COBRA air, sea, and cruise vessel (ferry passengers are still exempted) passenger fees.

Section 601 of the *United States-Columbia Trade Promotion Agreement Implementation Act* (P.L. 112-42) lifted the exemption that excluded air and sea passengers from Canada, Mexico, and the Adjacent Islands<sup>1</sup> from having to pay the COBRA air, sea, and cruise vessel (ferry passengers are still exempted) passenger fees. CBP estimates additional COBRA revenue of \$83 million in FY 2012 and \$110 million in FY 2013, in addition to increases due to predicted volume growth. CBP plans to use the increased fee collections to narrow the gap between COBRA collections and expenses under the hierarchy referenced in the statute (19 U.S.C. § 58c(f)(3); COBRA).

Revenues from user fees will support CBP’s inspection functions, helping the organization meet: CBP Goal 1, Secure the Nation’s Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; CBP Goal 2, Ensure the Efficient Flow of Legitimate Trade and Travel Across U.S. Borders; Quadrennial Homeland Security Goal 2.1, Effectively Control



U.S. Air, Land, and Sea Borders; and Quadrennial Homeland Security Goal 2.2, Safeguard Lawful Trade and Travel.

<sup>1</sup> Anguilla, Antigua and Barbuda, Aruba, Bahamas, Barbados, Bermuda-United Kingdom, British Virgin Islands-United Kingdom, Cayman Islands, Cuba, Dominica, Dominican Republic, Grenada and South Grenadines, Guadeloupe-France, Haiti, Jamaica, Martinique-France, Netherlands Antilles, St. Kitts and Nevis, St. Lucia, St. Vincent and North Grenadines, Trinidad and Tobago, Turks, and Caicos Islands-United Kingdom.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
COBRA passenger inspection fee  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	1,683	1,683	411,682
<b>FY 2012 Enacted Budget Authority</b>	1,683	1,683	494,937
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	1,683	1,683	494,937
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Increase in collections from lifting of COBRA country exemption	-	-	27,000
Increase in collections/receipts	-	-	7,415
<b>Total, Increases</b>	-	-	34,415
<b>Total, Program Changes</b>	-	-	34,415
<b>FY 2013 Requested Budget Authority</b>	1,683	1,683	529,352
<b>FY 2012 to FY 2013 Total Change</b>	-	-	34,415

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
COBRA passenger inspection fee  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	1,683	1,683	411,682
FY 2012 Enacted Budget Authority	1,683	1,683	494,937
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	1,683	1,683	494,937
Program Changes	-	-	-
Increases	-	-	34,415
Total, Program Changes	-	-	34,415
FY 2013 Requested Budget Authority	1,683	1,683	529,352
FY 2012 to FY 2013 Total Change	-	-	34,415

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
COBRA passenger inspection fee	1,683	1,683	494,937	-	-	-	-	-	34,415	1,683	1,683	529,352	-	-	34,415
<b>Total</b>	<b>1,683</b>	<b>1,683</b>	<b>494,937</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>34,415</b>	<b>1,683</b>	<b>1,683</b>	<b>529,352</b>	<b>-</b>	<b>-</b>	<b>34,415</b>

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
COBRA passenger inspection fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	167,391	201,242	215,236	13,994
11.5 Other personnel compensation	51,899	62,395	66,734	4,339
11.6 Pay Diff (Sun/Night)	125,049	150,338	160,791	10,453
11.7 Military personnel/Awards	1,130	1,359	1,453	94
12.1 Benefits	57,418	69,030	73,830	4,800
12.4 Allowances	8,397	10,095	10,797	702
<b>Total, Personnel and Other Compensation Benefits</b>	<b>411,284</b>	<b>494,459</b>	<b>528,841</b>	<b>34,382</b>
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	398	478	511	33
<b>Total, Other Object Classes</b>	<b>398</b>	<b>478</b>	<b>511</b>	<b>33</b>
<b>Total, Direct Obligations</b>	<b>411,682</b>	<b>494,937</b>	<b>529,352</b>	<b>34,415</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	50,493	50,493	-
Unobligated balance, start of year	-	(50,493)	(50,493)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>411,682</b>	<b>494,937</b>	<b>529,352</b>	<b>34,415</b>
<b>Full Time Equivalents</b>	<b>1,683</b>	<b>1,683</b>	<b>1,683</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
COBRA passenger inspection fee  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	1,683	1,683	1,683	-
<b>Total Permanent Positions</b>	<b>1,683</b>	<b>1,683</b>	<b>1,683</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	1,683	1,683	1,683	-
<b>Total, COBRA passenger inspection fee</b>	<b>1,683</b>	<b>1,683</b>	<b>1,683</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>1,683</b>	<b>1,683</b>	<b>1,683</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-



## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
COBRA passenger inspection fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	167,391	201,242	215,236	13,994
11.5 Other personnel compensation	51,899	62,395	66,734	4,339
11.6 Pay Diff (Sun/Night)	125,049	150,338	160,791	10,453
11.7 Military personnel/Awards	1,130	1,359	1,453	94
12.1 Benefits	57,418	69,030	73,830	4,800
12.4 Allowances	8,397	10,095	10,797	702
<b>Total, Personnel and Compensation Benefits</b>	<b>411,284</b>	<b>494,459</b>	<b>528,841</b>	<b>34,382</b>
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	398	478	511	33
<b>Total, Other Object Classes</b>	<b>398</b>	<b>478</b>	<b>511</b>	<b>33</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(50,493)	(50,493)	-
Unobligated Balance, end of year	-	50,493	50,493	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>411,682</b>	<b>494,937</b>	<b>529,352</b>	<b>34,415</b>
<b>Full Time Equivalents</b>	<b>1,683</b>	<b>1,683</b>	<b>1,683</b>	-

### COBRA passenger inspection fee Mission Statement

Customs and Border Protection user fees are authorized under 19 U.S.C. 58c, fees for certain customs services. The fees were created by the *Consolidated Omnibus Budget Reconciliation Act of 1985* (COBRA). COBRA fees are made available through permanent /indefinite appropriation created by the user fee statute. CBP collects customs fees to cover the cost of providing customs inspections of commercial operations, including, but not limited to, all costs associated with commercial passenger, vessel, vehicle, aircraft, and cargo processing. In order to maintain the operation supported by this fee, CBP retains a carryover of \$50 million annually to prevent any disruption between fiscal years and collections of fees.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	167,391	201,242	215,236	13,994
11.5 Other personnel compensation	51,899	62,395	66,734	4,339
11.6 Pay Diff (Sun/Night)	125,049	150,338	160,791	10,453
11.7 Military personnel/Awards	1,130	1,359	1,453	94
12.1 Benefits	57,418	69,030	73,830	4,800
12.4 Allowances	8,397	10,095	10,797	702
<b>Total, Salaries &amp; Benefits</b>	<b>411,284</b>	<b>494,459</b>	<b>528,841</b>	<b>34,382</b>

In FY 2013, an increase of \$26.974 million is the estimated amount the COBRA collections will increase from lifting the country exemption. In FY 2013, an increase of \$7.408 million in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$398	\$478	\$511	\$33

In FY 2013, an increase of \$26,000 is the estimated amount the COBRA collections will increase from lifting the country exemption. In FY 2013, an increase of \$7,000 in collections is estimated.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>3,590</b>	<b>1,683</b>	<b>1,683</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>3,590</b>	<b>1,683</b>	<b>1,683</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

**N/A**

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*U.S. Customs and Border Protection  
Immigration Inspection User Fee*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Customs and Border Protection Immigration Inspection User Fee**

### **I. Appropriation Overview**

#### **A. Mission Statement for Immigration Inspection User Fee**

The *Department of Justice Appropriation Act of 1987* (P.L. 99-591) authorized the collection of user fees from international passengers traveling into the United States. This fee is primarily used to fund inspection and detention services at air and sea ports-of-entry. This law, codified as 8 U.S.C. 1356(h), established the air and sea passenger fees to generate revenues that would reimburse the “expenses incurred by the Attorney General in providing immigration inspection and pre-inspection services for commercial aircraft or vessels.”

After the creation of the Department of Homeland Security (DHS), most of the immigration inspection functions were transferred to U.S. Customs and Border Protection (CBP). However, the functions funded by the Immigration Inspection User Fees (IUF) for detention and removal of inadmissible aliens and other investigative activities were transferred to the U.S. Immigration and Customs Enforcement (ICE). As a result, a Memorandum of Agreement (MOA) was established between CBP and ICE in 2004 to determine the allocation of fee collections between the two DHS Components.

The IUF supports the following strategic goals: CBP Strategic Goal 1, Secure the Nation’s Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; the Quadrennial Homeland Security Strategic Goal 2.2, Safeguard Lawful Trade and Travel; and the Quadrennial Homeland Security Goal 3.2, Prevent Unlawful Immigration.

#### **B. Budget Activities**

In FY 2013, the IUF will be used to fund a portion of the salaries, benefits, and overtime for the Customs and Border Protection Officers (CBPOs) performing immigration inspection and detention and removal of inadmissible aliens. These functions support the following Lines of Business (LOBs):

- LOB 2, Securing and Facilitating Flows of People, in which the IUF has the greatest impact on subprogram 2, Inbound Inspection.
- LOB 5, Enterprise Business Services, to include salaries and benefits for managing information technology infrastructure.

In addition, the IUF funds administrative support, to include rent, contractual services, supplies, equipment, and printing that are associated with LOBs 2 and 5, and LOB 6, Mission Support.

### **C. Budget Request Summary**

CBP requests 2,754 positions, 2,706 full-time equivalent employees, and \$568.792 million in FY 2013 for the IUF. The IUF is composed of Administrative Carrier Fines and Airline and Vessel User Fees. The IUF is shared between CBP and ICE. Although CBP retains 100 percent of Administrative Carrier Fines, CBP receives 82.63 percent of the Airline and Vessel User Fees. The remaining 17.37 percent of the Airline and Vessel User Fees collection goes to ICE.

The Administrative Carrier Fines differ from the fines collected under the Illegal Immigration Reform and Immigrant Responsibility Act. CBP projected the FY 2013 collections by analyzing external statistics, including Federal Aviation Administration forecasts for passengers, the economic growth prescribed by Office of Management and Budget, and internal projections by the Office of Field Operations.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Immigration inspection user fee**  
 Summary of FY 2013 Budget Estimates by Program Project Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Immigration inspection user fee	2,754	2,706	468,390	2,754	2,706	558,734	2,754	2,706	568,790	-	-	10,056	-	-	-	-	-	10,056
<b>Subtotal, Mandatory</b>	<b>2,754</b>	<b>2,706</b>	<b>468,390</b>	<b>2,754</b>	<b>2,706</b>	<b>558,734</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>	<b>-</b>	<b>-</b>	<b>10,056</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>10,056</b>
<b>Total, Immigration inspection user fee</b>	<b>2,754</b>	<b>2,706</b>	<b>468,390</b>	<b>2,754</b>	<b>2,706</b>	<b>558,734</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>	<b>-</b>	<b>-</b>	<b>10,056</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>10,056</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>2,754</b>	<b>2,706</b>	<b>468,390</b>	<b>2,754</b>	<b>2,706</b>	<b>558,734</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>	<b>-</b>	<b>-</b>	<b>10,056</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>10,056</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>2,754</b>	<b>2,706</b>	<b>468,390</b>	<b>2,754</b>	<b>2,706</b>	<b>558,734</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>	<b>-</b>	<b>-</b>	<b>10,056</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>10,056</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration inspection user fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Immigration inspection user fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2,754</b>	<b>2,706</b>	<b>468,390</b>
<b>2012 Enacted Budget Authority</b>	<b>2,754</b>	<b>2,706</b>	<b>558,734</b>
2013 Adjustments-to-Base	-	-	10,056
<b>2013 Current Services</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>
<b>2013 Total Requested Budget Authority</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>
Total Change 2012 to 2013	-	-	10,056

#### **CURRENT SERVICES PROGRAM DESCRIPTION**

As established in a Memorandum Of Agreement between U.S. Customs and Border Protection (CBP) and U.S. Immigration and Customs Enforcement (ICE), funds from the IUF account are used by CBP (82.63 percent) and ICE (17.37 percent) to recover some of the costs of immigration inspection services and detention and removal of inadmissible aliens related to the inspection and pre-inspection services for commercial aircraft or vessels. At air and sea ports of entry specifically, the fees cover some of the costs of immigration personnel, the maintenance and updating of systems to track criminal and illegal aliens in areas with high apprehensions, and the repair and maintenance of equipment. Revenues from IUF will support CBP’s inspection functions, helping the organization meet: CBP Strategic Goal 1, Secure the Nation’s Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; the Quadrennial Homeland Security Strategic Goal 2.2, Safeguard Lawful Trade and Travel; and Quadrennial Homeland Security Goal 3.2, Prevent Unlawful Immigration.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**N/A**

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration inspection user fee  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	2,754	2,706	468,390
FY 2012 Enacted Budget Authority	2,754	2,706	558,734
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Increase in Collections	-	-	10,056
Total, Increases	-	-	10,056
Total, Adjustments-to-Base	-	-	10,056
 FY 2013 Current Services	 2,754	 2,706	 568,790
Program Changes	-	-	-
	-	-	-
Total, Program Changes	-	-	-
 FY 2013 Requested Budget Authority	 2,754	 2,706	 568,790
FY 2012 to FY 2013 Total Change	-	-	10,056

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration inspection user fee  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	2,754	2,706	468,390
FY 2012 Enacted Budget Authority	2,754	2,706	558,734
Adjustments-to-Base	-	-	-
Increases	-	-	10,056
<b>Total, Adjustments-to-Base</b>	-	-	<b>10,056</b>
FY 2013 Current Services	2,754	2,706	568,790
Program Changes	-	-	-
<b>Total, Program Changes</b>	-	-	-
FY 2013 Requested Budget Authority	2,754	2,706	568,790
FY 2012 to FY 2013 Total Change	-	-	10,056

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immigration inspection user fee	2,754	2,706	558,734	-	-	10,056	-	-	-	2,754	2,706	568,790	-	-	10,056
<b>Total</b>	<b>2,754</b>	<b>2,706</b>	<b>558,734</b>	<b>-</b>	<b>-</b>	<b>10,056</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>2,754</b>	<b>2,706</b>	<b>568,790</b>	<b>-</b>	<b>-</b>	<b>10,056</b>



**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration inspection user fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	239,316	285,476	290,614	5,138
11.6 Pay Diff (Sun/Night)	74,047	88,329	89,919	1,590
11.7 Military personnel/Awards	3,582	4,273	4,350	77
12.1 Benefits	107,596	128,349	130,659	2,310
12.4 Allowances	352	420	428	8
<b>Total, Personnel and Other Compensation Benefits</b>	<b>424,893</b>	<b>506,847</b>	<b>515,970</b>	<b>9,123</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	616	735	748	13
23.1 GSA rent	290	346	352	6
23.3 Communications, utilities, and misc. charges	1,800	2,147	2,186	39
24.0 Printing	982	1,171	1,192	21
25.2 Other services	3,168	3,779	3,847	68
25.4 O&M of facilities	300	358	364	6
25.7 Operation and maintenance of equipment	2,000	2,386	2,429	43
26.0 Supplies and materials	5,832	6,957	7,082	125
31.0 Equipment	28,509	34,008	34,620	612
<b>Total, Other Object Classes</b>	<b>43,497</b>	<b>51,887</b>	<b>52,820</b>	<b>933</b>
<b>Total, Direct Obligations</b>	<b>468,390</b>	<b>558,734</b>	<b>568,790</b>	<b>10,056</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	94,986	94,986	-
Unobligated balance, start of year	-	(94,986)	(94,986)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>468,390</b>	<b>558,734</b>	<b>568,790</b>	<b>10,056</b>
<b>Full Time Equivalents</b>	<b>2,706</b>	<b>2,706</b>	<b>2,706</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration inspection user fee  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	2,754	2,754	2,754	-
<b>Total Permanent Positions</b>	<b>2,754</b>	<b>2,754</b>	<b>2,754</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	2,754	2,754	2,754	-
<b>Total, Immigration inspection user fee</b>	<b>2,754</b>	<b>2,754</b>	<b>2,754</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>2,706</b>	<b>2,706</b>	<b>2,706</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

*Activities funded by Immigration User Fees are performed by U.S. Customs and Border Protection Officers as part of their normal duties.*

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration inspection user fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	239,316	285,476	290,614	5,138
11.6 Pay Diff (Sun/Night)	74,047	88,329	89,919	1,590
11.7 Military personnel/Awards	3,582	4,273	4,350	77
12.1 Benefits	107,596	128,349	130,659	2,310
12.4 Allowances	352	420	428	8
<b>Total, Personnel and Compensation Benefits</b>	<b>424,893</b>	<b>506,847</b>	<b>515,970</b>	<b>9,123</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	616	735	748	13
23.1 GSA rent	290	346	352	6
23.3 Communications, utilities, and misc. charges	1,800	2,147	2,186	39
24.0 Printing	982	1,171	1,192	21
25.2 Other services	3,168	3,779	3,847	68
25.4 O&M of facilities	300	358	364	6
25.7 Operation and maintenance of equipment	2,000	2,386	2,429	43
26.0 Supplies and materials	5,832	6,957	7,082	125
31.0 Equipment	28,509	34,008	34,620	612
<b>Total, Other Object Classes</b>	<b>43,497</b>	<b>51,887</b>	<b>52,820</b>	<b>933</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(94,986)	(94,986)	-
Unobligated Balance, end of year	-	94,986	94,986	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>468,390</b>	<b>558,734</b>	<b>568,790</b>	<b>10,056</b>
<b>Full Time Equivalents</b>	<b>2,706</b>	<b>2,706</b>	<b>2,706</b>	-

### Immigration inspection user fee Mission Statement

The *Department of Justice Appropriation Act of 1987* (P.L. 99-591) authorized the collection of user fees for processing commercial air and sea passengers. This law, codified as 8 U.S.C. 1356(h), established the two fees to generate revenues that would reimburse the appropriation for expenses incurred by the Attorney General in providing immigration inspection and pre-inspection services for commercial aircraft or vessels.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	239,316	285,476	290,614	5,138
11.6 Pay Diff (Sun/Night)	74,047	88,329	89,919	1,590
11.7 Military personnel/Awards	3,582	4,273	4,350	77
12.1 Benefits	107,596	128,349	130,659	2,310
12.4 Allowances	352	420	428	8
<b>Total, Salaries &amp; Benefits</b>	<b>424,893</b>	<b>506,847</b>	<b>515,970</b>	<b>9,123</b>

In FY 2013, an increase of \$9.123 million in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$616</b>	<b>\$735</b>	<b>\$748</b>	<b>\$13</b>

In FY 2013, an increase of \$13,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$290</b>	<b>\$346</b>	<b>\$352</b>	<b>\$6</b>

In FY 2013, an increase of \$6,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$1,800</b>	<b>\$2,147</b>	<b>\$2,186</b>	<b>\$39</b>

In FY 2013, an increase of \$39,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$982</b>	<b>\$1,171</b>	<b>\$1,192</b>	<b>\$21</b>

In FY 2013, an increase of \$21,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$3,168</b>	<b>\$3,779</b>	<b>\$3,847</b>	<b>\$68</b>

In FY 2013, an increase of \$68,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.4 O&amp;M of facilities</b>	<b>\$300</b>	<b>\$358</b>	<b>\$364</b>	<b>\$6</b>

In FY 2013, an increase of \$6,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$2,000	\$2,386	\$2,429	\$43

In FY 2013, an increase of \$43,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$5,832	\$6,957	\$7,082	\$125

In FY 2013, an increase of \$125,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$28,509	\$34,008	\$34,620	\$612

In FY 2013, an increase of \$612,000 in collections is estimated.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>2,706</b>	<b>2,706</b>	<b>2,706</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>2,706</b>	<b>2,706</b>	<b>2,706</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>



**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
Land Border Inspection Fee*

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Fiscal Year 2013  
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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Customs and Border Protection Land Border Inspection Fee**

### **I. Appropriation Overview**

#### **A. Mission Statement for Land Border Inspection Fee**

The *Department of Justice Appropriation Act* of 1990 (P.L. 101-515), as codified as 8 U.S.C. 1356(q), authorizes the Land Border Inspection Fees (LBIF) to recover costs incurred for the inspection services provided at land border ports of entry. In actuality, the fees collected do not fully cover the costs of the programs. The funds in the LBIF account are used to support the following U.S. Customs and Border Protection (CBP) activities (in hierarchal order):

- Overtime inspection services;
- Expansion, operation, and maintenance of information technology systems for non-immigrant control;
- The hiring of temporary and permanent inspectors;
- Minor construction costs associated with the addition of new traffic lanes;
- Detection of fraudulent travel documents; and
- Administrative expenses of account.

The LBIF supports CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; CBP Strategic Goal 2, Ensure the Efficient Flow of Legitimate Trade and Travel Across U.S. Borders; Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border; and Quadrennial Homeland Security Goal 3, Prevent Unlawful Immigration.

#### **B. Budget Activities**

Collections from LBIF fund the salaries and benefits of Customs and Border Protection officers (CBPOs), as well as operational and maintenance costs. To the extent that funding is available from the LBIF account, the CBP appropriation can be reimbursed for its full cost of inspection services at the land border ports of entry. The following fees are deposited into the LBIF account.

- Dedicated Commuter Lane additional vehicle (DCL) \$42
- Arrival/Departure Land Border (I-94) \$6
- Non-Immigrant Visa Waiver (I-94W) \$6
- Canadian Boat Landing Permit Individual (I-68) \$16
- Canadian Boat Landing Permit Family (I-68) \$32
- Replacement of Papers for Non-resident Mexican Crossing (I-190) \$26
- NEXUS \$50 (every 5 years)
- SENTRI (Secure Electronic Network for Travelers Rapid Inspection) \$129 (individuals); \$160 (families). Both fees cover 5 years.
- Free and Secure Trade Program (FAST) Driver Application Fee \$50 (every 5 years)

In Fiscal Year (FY) 2013, all LBIF funding will be used to cover salaries, benefits, and overtime for CBPOs performing LBIF-related inspections. The LBIF funds are utilized in Line of Business 2, Securing and Facilitating Flows of People, in which the LBIF fee has the greatest impact on subprogram 1, Pre-Arrival Processing; subprogram 2, Inbound Inspection; and subprogram 3, Outbound Inspection.

In FY 2012, CBP will initiate fee studies for some of these programs to assess the costs of the programs against the fee collections.

### **C. Budget Request Summary**

CBP requests 237 positions, 234 full time equivalent employee, and \$35.935 million in FY 2013 for LBIF. This request will fund the salaries and benefits of CBPOs and related operational and maintenance costs. This estimate is based on growth of the overall economy (Gross Domestic Product), as projected by the Congressional Budget Office.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
U.S. Customs and Border Protection  
Land border inspection fee**

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Land border inspection fee	237	234	33,481	237	234	35,300	237	234	35,935	-	-	635	-	-	-	-	-	635
<b>Subtotal, Mandatory</b>	<b>237</b>	<b>234</b>	<b>33,481</b>	<b>237</b>	<b>234</b>	<b>35,300</b>	<b>237</b>	<b>234</b>	<b>35,935</b>	<b>-</b>	<b>-</b>	<b>635</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>635</b>
<b>Total, Land border inspection fee</b>	<b>237</b>	<b>234</b>	<b>33,481</b>	<b>237</b>	<b>234</b>	<b>35,300</b>	<b>237</b>	<b>234</b>	<b>35,935</b>	<b>-</b>	<b>-</b>	<b>635</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>635</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>237</b>	<b>234</b>	<b>33,481</b>	<b>237</b>	<b>234</b>	<b>35,300</b>	<b>237</b>	<b>234</b>	<b>35,935</b>	<b>-</b>	<b>-</b>	<b>635</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>635</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>237</b>	<b>234</b>	<b>33,481</b>	<b>237</b>	<b>234</b>	<b>35,300</b>	<b>237</b>	<b>234</b>	<b>35,935</b>	<b>-</b>	<b>-</b>	<b>635</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>635</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Land border inspection fee**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Land border inspection fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>237</b>	<b>234</b>	<b>33,481</b>
<b>2012 Enacted Budget Authority</b>	<b>237</b>	<b>234</b>	<b>35,300</b>
2013 Adjustments-to-Base	-	-	635
<b>2013 Current Services</b>	<b>237</b>	<b>234</b>	<b>35,935</b>
<b>2013 Total Requested Budget Authority</b>	<b>237</b>	<b>234</b>	<b>35,935</b>
Total Change 2012 to 2013	-	-	635

#### CURRENT SERVICES PROGRAM DESCRIPTION

As authorized by law, Land Border Inspection Fees are used to recover part of U.S. Customs and Border Protection (CBP's) costs for immigration inspections at land border ports of entry, including inspections of pedestrians, buses, passenger occupancy vehicles, and rail cars. It also includes antiterrorism efforts, dedicated lane programs, and forms processing. These collections will help CBP meet: CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; CBP Strategic Goal 2, Ensure the Efficient Flow of Legitimate Trade and Travel Across U.S. Borders; Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border; and Quadrennial Homeland Security Goal 3, Prevent Unlawful Immigration.



#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

**N/A**

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Land border inspection fee  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	237	234	33,481
FY 2012 Enacted Budget Authority	237	234	35,300
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Increase in Collections	-	-	635
Total, Increases	-	-	635
Total, Adjustments-to-Base	-	-	635
 FY 2013 Current Services	 237	 234	 35,935
Program Changes	-	-	-
Total, Program Changes	-	-	-
 FY 2013 Requested Budget Authority	 237	 234	 35,935
 FY 2012 to FY 2013 Total Change	 -	 -	 635

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Land border inspection fee  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	237	234	33,481
FY 2012 Enacted Budget Authority	237	234	35,300
Adjustments-to-Base	-	-	-
Increases	-	-	635
Total, Adjustments-to-Base	-	-	635
FY 2013 Current Services	237	234	35,935
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	237	234	35,935
FY 2012 to FY 2013 Total Change	-	-	635

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Land border inspection fee	237	234	35,300	-	-	635	-	-	-	237	234	35,935	-	-	635
<b>Total</b>	<b>237</b>	<b>234</b>	<b>35,300</b>	<b>-</b>	<b>-</b>	<b>635</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>237</b>	<b>234</b>	<b>35,935</b>	<b>-</b>	<b>-</b>	<b>635</b>

**D. Summary of Reimbursable Resources**

**N/A**

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Land border inspection fee**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	15,276	16,107	16,396	289
11.6 Pay Diff (Sun/Night)	7,899	8,328	8,478	150
11.7 Military personnel/Awards	137	144	147	3
12.1 Benefits	7,038	7,420	7,553	133
<b>Total, Personnel and Other Compensation Benefits</b>	<b>30,350</b>	<b>31,999</b>	<b>32,574</b>	<b>575</b>
<b>Other Object Classes</b>	-	-	-	-
24.0 Printing	3,100	3,268	3,327	59
25.2 Other services	31	33	34	1
<b>Total, Other Object Classes</b>	<b>3,131</b>	<b>3,301</b>	<b>3,361</b>	<b>60</b>
<b>Total, Direct Obligations</b>	<b>33,481</b>	<b>35,300</b>	<b>35,935</b>	<b>635</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	3,895	3,895	-
Unobligated balance, start of year	-	(3,895)	(3,895)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>33,481</b>	<b>35,300</b>	<b>35,935</b>	<b>635</b>
<b>Full Time Equivalents</b>	<b>234</b>	<b>234</b>	<b>234</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Land border inspection fee  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	237	237	237	-
<b>Total Permanent Positions</b>	<b>237</b>	<b>237</b>	<b>237</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	237	237	237	-
<b>Total, Land border inspection fee</b>	<b>237</b>	<b>237</b>	<b>237</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>234</b>	<b>234</b>	<b>234</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**



## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Land border inspection fee**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	15,276	16,107	16,396	289
11.6 Pay Diff (Sun/Night)	7,899	8,328	8,478	150
11.7 Military personnel/Awards	137	144	147	3
12.1 Benefits	7,038	7,420	7,553	133
<b>Total, Personnel and Compensation Benefits</b>	<b>30,350</b>	<b>31,999</b>	<b>32,574</b>	<b>575</b>
<b>Other Object Classes</b>	-	-	-	-
24.0 Printing	3,100	3,268	3,327	59
25.2 Other services	31	33	34	1
<b>Total, Other Object Classes</b>	<b>3,131</b>	<b>3,301</b>	<b>3,361</b>	<b>60</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(3,895)	(3,895)	-
Unobligated Balance, end of year	-	3,895	3,895	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>33,481</b>	<b>35,300</b>	<b>35,935</b>	<b>635</b>
<b>Full Time Equivalents</b>	<b>234</b>	<b>234</b>	<b>234</b>	<b>-</b>

### Land border inspection fee Mission Statement

The *Department of Justice Appropriation Act of 1990* (P.L. 101-515), as codified as 8 U.S.C. 1356(q), authorizes the fees to recover costs incurred in the following categories involving the operation of various pilot programs: Overtime inspection services; Expansion, operation, and maintenance of information technology systems for non-immigrant control; Hiring of temporary and permanent inspectors; Minor construction costs associated with the addition of new traffic lanes; Detection of fraudulent travel documents; and Administrative expenses of account.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	15,276	16,107	16,396	289
11.6 Pay Diff (Sun/Night)	7,899	8,328	8,478	150
11.7 Military personnel/Awards	137	144	147	3
12.1 Benefits	7,038	7,420	7,553	133
<b>Total, Salaries &amp; Benefits</b>	<b>30,350</b>	<b>31,999</b>	<b>32,574</b>	<b>575</b>

In FY 2013, an increase of \$575,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$3,100</b>	<b>\$3,268</b>	<b>\$3,327</b>	<b>\$59</b>

In FY 2013, an increase of \$59,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$31</b>	<b>\$33</b>	<b>\$34</b>	<b>\$1</b>

In FY 2013, an increase of \$1,000 in collections is estimated.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	234	234	234
<b>Year End Actuals/Estimated FTEs:</b>	234	234	234
<b>Net Change from prior year base to Budget Year Estimate:</b>	-	-	-

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
Immigration Enforcement Fines*

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Fiscal Year 2013  
Congressional Submission

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Immigration Enforcement Fines**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Immigration Enforcement Fines**

The Immigration Enforcement Account was established under Section 382 of the *Illegal Immigration Reform and Immigrant Responsibility Act of 1996* (P.L. 104-208; IIRIRA). In addition to creating this account, IIRIRA also added new types of fines to include fines levied against aliens for failure to depart the United States if so ordered. Fines are also levied on carriers transporting passengers to the United States that violate element(s) of immigration law. The Immigration Enforcement Account supports the U.S. Customs and Border Protection (CBP) Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; Quadrennial Homeland Security Strategic Goal 2.2, Safeguard Lawful Trade and Travel; and Quadrennial Homeland Security Goal 3.2, Prevent Unlawful Immigration.

##### **B. Budget Activities**

Subject to the availability of funds, the fines collected are used to support the following CBP officer activities: identification, investigation, apprehension, detention, and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens on the border in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities. The Immigration Enforcement Account supports the Inbound Inspection subprogram under the CBP's Line of Business 3, Securing and Facilitating Flows of People.

##### **C. Budget Request Summary**

CBP requests two positions, two full-time equivalents, and \$1.093 million in FY 2013 to support collection of enforcement fines. Because violations of the law are not easily quantifiable, enforcement-related collections are relatively fluid and difficult to forecast.



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Customs and Border Protection Immigration enforcement fines

#### Summary of FY 2013 Budget Estimates by Program Project Activity

#### FY 2013 Requested Budget Authority (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Immigration enforcement fines	2	2	201	2	2	1,041	2	2	1,093	-	-	52	-	-	-	-	-	52
<b>Subtotal, Mandatory</b>	<b>2</b>	<b>2</b>	<b>201</b>	<b>2</b>	<b>2</b>	<b>1,041</b>	<b>2</b>	<b>2</b>	<b>1,093</b>	<b>-</b>	<b>-</b>	<b>52</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>52</b>
<b>Total, Immigration enforcement fines</b>	<b>2</b>	<b>2</b>	<b>201</b>	<b>2</b>	<b>2</b>	<b>1,041</b>	<b>2</b>	<b>2</b>	<b>1,093</b>	<b>-</b>	<b>-</b>	<b>52</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>52</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>2</b>	<b>2</b>	<b>201</b>	<b>2</b>	<b>2</b>	<b>1,041</b>	<b>2</b>	<b>2</b>	<b>1,093</b>	<b>-</b>	<b>-</b>	<b>52</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>52</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:*</b>	<b>2</b>	<b>2</b>	<b>201</b>	<b>2</b>	<b>2</b>	<b>1,041</b>	<b>2</b>	<b>2</b>	<b>1,093</b>	<b>-</b>	<b>-</b>	<b>52</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>52</b>

\*Although the FY 2012 Enacted and the FY 2013 Request for full-time equivalent employees (FTEs) in the above table and other supporting material is shown as two FTEs, upon further analysis, CBP has refined the FTE estimate for FY 2012 to seven FTEs and in FY 2013 to eight FTEs. Historically, the unpredictability of collections in Immigration Enforcement Fines has created difficulty in determining the appropriate amount of FTEs, which could be supported from these user fees.

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration enforcement fines  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Immigration enforcement fines**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2</b>	<b>2</b>	<b>201</b>
<b>2012 Enacted Budget Authority</b>	<b>2</b>	<b>2</b>	<b>1,041</b>
2013 Adjustments-to-Base	-	-	52
<b>2013 Current Services</b>	<b>2</b>	<b>2</b>	<b>1,093</b>
<b>2013 Total Requested Budget Authority</b>	<b>2</b>	<b>2</b>	<b>1,093</b>
Total Change 2012 to 2013	-	-	52

#### **CURRENT SERVICES PROGRAM DESCRIPTION**

These funds can be used to support a variety of activities, including: the identification, investigation, apprehension, detention, and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens at air and sea ports of entry in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities. Revenues from these fines will help U.S. Customs and Border Protection (CBP) meet: CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; Quadrennial Homeland Security Strategic Goal 2.2, Safeguard Lawful Trade and Travel; and Quadrennial Homeland Security Goal 3.2, Prevent Unlawful Immigration.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration enforcement fines  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	2	2	201
<b>FY 2012 Enacted Budget Authority</b>	2	2	1,041
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
Increase in Collections	-	-	52
<b>Total, Increases</b>	-	-	52
<b>Total, Adjustments-to-Base</b>	-	-	52
<b>FY 2013 Current Services</b>	2	2	1,093
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	2	2	1,093
<b>FY 2012 to FY 2013 Total Change</b>	-	-	52

\*Although the FY 2012 Enacted and the FY 2013 Request for full-time equivalent employees (FTEs) in the above table and other supporting material is shown as two FTEs, upon further analysis, CBP has refined the FTE estimate for FY 2012 to seven FTEs and in FY 2013 to eight FTEs. Historically, the unpredictability of collections in Immigration Enforcement Fines has created difficulty in determining the appropriate amount of FTEs, which could be supported from these user fees.

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration enforcement fines  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	2	2	201
FY 2012 Enacted Budget Authority	2	2	1,041
Adjustments-to-Base	-	-	-
Increases	-	-	52
Total, Adjustments-to-Base	-	-	52
FY 2013 Current Services	2	2	1,093
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	2	2	1,093
FY 2012 to FY 2013 Total Change	-	-	52

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immigration enforcement fines	2	2	1,041	-	-	52	-	-	-	2	2	1,093	-	-	52
<b>Total</b>	<b>2</b>	<b>2</b>	<b>1,041</b>	<b>-</b>	<b>-</b>	<b>52</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>2</b>	<b>2</b>	<b>1,093</b>	<b>-</b>	<b>-</b>	<b>52</b>

\*Although the FY 2012 Enacted and the FY 2013 Request for full-time equivalent employees (FTEs) in the above table and other supporting material is shown as two FTEs, upon further analysis, CBP has refined the FTE estimate for FY 2012 to seven FTEs and in FY 2013 to eight FTEs. Historically, the unpredictability of collections in Immigration Enforcement Fines has created difficulty in determining the appropriate amount of FTEs, which could be supported from these user fees.

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Immigration enforcement fines**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	122	632	664	32
11.7 Military personnel/Awards	23	119	125	6
12.1 Benefits	56	290	304	14
<b>Total, Personnel and Other Compensation Benefits</b>	<b>201</b>	<b>1,041</b>	<b>1,093</b>	<b>52</b>
<b>Other Object Classes</b>	-	-	-	-
<b>Total, Direct Obligations</b>	<b>201</b>	<b>1,041</b>	<b>1,093</b>	<b>52</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	504	504	-
Unobligated balance, start of year	-	(504)	(504)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>201</b>	<b>1,041</b>	<b>1,093</b>	<b>52</b>
<b>Full Time Equivalents</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>-</b>

\*Although the FY 2012 Enacted and the FY 2013 Request for full-time equivalent employees (FTEs) in the above table and other supporting material is shown as two FTEs, upon further analysis, CBP has refined the FTE estimate for FY 2012 to seven FTEs and in FY 2013 to eight FTEs. Historically, the unpredictability of collections in Immigration Enforcement Fines has created difficulty in determining the appropriate amount of FTEs, which could be supported from these user fees.



## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration enforcement fines  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	2	2	2	-
<b>Total Permanent Positions</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	2	2	2	-
U.S. Field	2	2	2	-
<b>Total, Immigration enforcement fines</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Immigration enforcement fines  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	122	632	664	32
11.7 Military personnel/Awards	23	119	125	6
12.1 Benefits	56	290	304	14
<b>Total, Personnel and Compensation Benefits</b>	<b>201</b>	<b>1,041</b>	<b>1,093</b>	<b>52</b>
<b>Other Object Classes</b>	-	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(504)	(504)	-
Unobligated Balance, end of year	-	504	504	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>201</b>	<b>1,041</b>	<b>1,093</b>	<b>52</b>
<b>Full Time Equivalents</b>	<b>2</b>	<b>2</b>	<b>2</b>	-

\*Although the FY 2012 Enacted and the FY 2013 Request for full-time equivalent employees (FTEs) in the above table and other supporting material is shown as two FTEs, upon further analysis, CBP has refined the FTE estimate for FY 2012 to seven FTEs and in FY 2013 to eight FTEs. Historically, the unpredictability of collections in Immigration Enforcement Fines has created difficulty in determining the appropriate amount of FTEs, which could be supported from these user fees.

### Immigration enforcement fines Mission Statement

The Immigration Enforcement account was established under Section 382 of the *Illegal Immigration Reform and Immigrant Responsibility Act (IIRIRA) of 1996*. Previously, similar fines were collected and deposited into the Immigration User Fee account. In addition to creating this account, IIRIRA also added new types of fines, such as those levied against aliens for failure to depart the United States after being so ordered. The authorized uses of this fund consist of: the identification, investigation, apprehension, detention, and removal of criminal aliens; the maintenance and updating of systems to track criminal and illegal aliens on the border in areas with high apprehensions to deter illegal entry; and the repair, maintenance, and construction of border facilities.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	122	632	664	32
11.7 Military personnel/Awards	23	119	125	6
12.1 Benefits	56	290	304	14
<b>Total, Salaries &amp; Benefits</b>	<b>201</b>	<b>1,041</b>	<b>1,093</b>	<b>52</b>

In FY 2013, an increase of \$52,000 in collections is estimated.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	2	2	2
<b>Year End Actuals/Estimated FTEs:</b>	2	2	2
<b>Net Change from prior year base to Budget Year Estimate:</b>	-	-	-

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
Global Entry User Fees*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Global Entry User Fees**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Global Entry User Fees**

The Global Entry Program is authorized under the *Consolidated Appropriations Act of 2008* (P.L. 110-161) Section 565(3) (A). The program supports the following strategic goals: U.S. Customs and Border Protection (CBP) Strategic Goal 2, Ensure the Efficient Flow of Legitimate Trade and Travel Across U.S. Borders; and Quadrennial Homeland Security Strategic Goal 2.1, Effectively Control U.S. Air, Land, and Sea Borders.

The program establishes an international registered traveler program that incorporates technologies, such as biometrics and e-passports, and security threat assessments to expedite screening and processing of international passengers. All applicants must be pre-approved, and they must undergo a rigorous background check and interview before enrollment. Global Entry allows expedited clearance for pre-approved and low-risk travelers upon arrival in the United States. Though intended for frequent international travelers, there is no minimum number of trips necessary to qualify. Participants may enter the United States by using automated kiosks located at selected airports.

Section 565 (3) (B) of the *Consolidated Appropriations Act of 2008* authorized the imposition of a fee to recover the full cost of the program. The implementing regulation to establish an application fee was issued in November 2009 (74 FR 59936 (2009-11-19)). On the basis of cost estimates and enrollment projections, a charge of \$100 per application is deemed appropriate to generate necessary revenue to cover the full cost of processing Global Entry applications. CBP will initiate a review of the Global Entry application charge to ensure that program costs continue to be fully covered.

Currently, Global Entry kiosks can be found in 20 international U.S. airports and four Canadian pre-clearance locations. In FY 2012, CBP plans to expand Global Entry to 16 additional airports. Additionally, beginning in Fiscal Year (FY) 2012, the Asian-Pacific Economic Cooperation Business Travel Card (P.L. 112-54) was developed as an extension to the Global Entry Program in response to the need for business people to gain streamlined entrance to the economies of the Asia-Pacific region. This enables business people to explore new business opportunities, attend meetings, and conduct trade and investment activities.

##### **B. Budget Activities**

The Global Entry user fee is used to support the technology required to administer the program. Global Entry funds support the Pre-Arrival Processing subprogram within Line of Business (LOB) 3, Securing and Facilitating Flows of People.

The program has been used as a basis for cooperation with other nations and other agencies in order to further expedite passenger processing. Global Entry participants can join the Fast Low Risk Universal Crossing program, offered by the Netherlands to provide preferred treatment at the Amsterdam Airport.

### **C. Budget Request Summary**

CBP requests \$13.743 million in FY 2013 for Global Entry. The budget request is based on an estimate of 32,300 additional enrollees in FY 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Customs and Border Protection Global Entry User Fees

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Global Entry User Fees	-	-	3,551	-	-	13,500	-	-	13,743	-	-	243	-	-	243	-	-	-
<b>Subtotal, Mandatory</b>	-	-	<b>3,551</b>	-	-	<b>13,500</b>	-	-	<b>13,743</b>	-	-	<b>243</b>	-	-	<b>243</b>	-	-	-
<b>Total, Global Entry Fee Collection</b>	-	-	<b>3,551</b>	-	-	<b>13,500</b>	-	-	<b>13,743</b>	-	-	<b>243</b>	-	-	<b>243</b>	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	-	3,551	-	-	13,500	-	-	13,743	-	-	243	-	-	243	-	-	-
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>3,551</b>	-	-	<b>13,500</b>	-	-	<b>13,743</b>	-	-	<b>243</b>	-	-	<b>243</b>	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Global Entry User Fees  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Global Entry User Fees**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>3,551</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>13,500</b>
<b>2013 Current Services</b>	-	-	<b>13,500</b>
2013 Program Change	-	-	243
<b>2013 Total Requested Budget Authority</b>	-	-	<b>13,743</b>
Total Change 2012 to 2013	-	-	243

**CURRENT SERVICES PROGRAM DESCRIPTION**

The program authorizes the use of technologies, such as biometrics and e-passports, and security threat assessments to expedite screening and processing of international passengers. Currently there is a fee of \$100 per applicant to cover the costs of the program. This fee will be reviewed in 2012 to ensure that it is set at an appropriate level to recover the full costs of the Electronic System for Travel Authorization operations. Revenues from Global Entry user fees will support U.S. Customs and Border Protection (CBP's) inspection functions, helping the organization meet: CBP Strategic Goal 2, Ensure the Efficient Flow of Legitimate Trade and Travel Across U.S. Borders; and Quadrennial Homeland Security Strategic Goal 2.1, Effectively Control U.S. Air, Land, and Sea Borders.

Items funded with the Global Entry fees are available technologies, such as biometrics and e-passports, and security threat assessments to expedite the screening and processing of international travelers. These items include equipment such as kiosks, software, and background investigations (via an interagency agreement with the Federal Bureau of Investigation).

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Global Entry User Fees**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	3,551
FY 2012 Enacted Budget Authority	-	-	13,500
Adjustments-to-Base	-	-	-
Transfers	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	-	-	<b>13,500</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Increase in collections/receipts	-	-	243
<b>Total, Increases</b>	-	-	<b>243</b>
<b>Total, Program Changes</b>	-	-	<b>243</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>13,743</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>243</b>

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Global Entry User Fees  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	3,551
FY 2012 Enacted Budget Authority	-	-	13,500
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	13,500
Program Changes	-	-	-
Increases	-	-	243
Total, Program Changes	-	-	243
FY 2013 Requested Budget Authority	-	-	13,743
FY 2012 to FY 2013 Total Change	-	-	243

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Global Entry User Fees	-	-	13,500	-	-	-	-	-	243	-	-	13,743	-	-	243
<b>Total</b>	-	-	<b>13,500</b>	-	-	-	-	-	<b>243</b>	-	-	<b>13,743</b>	-	-	<b>243</b>



**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Global Entry User Fees**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	2,550	9,694	9,869	175
25.4 O&M of facilities	1,000	3,802	3,870	68
25.7 Operation and maintenance of equipment	1	4	4	-
<b>Total, Other Object Classes</b>	<b>3,551</b>	<b>13,500</b>	<b>13,743</b>	<b>243</b>
<b>Total, Direct Obligations</b>	<b>3,551</b>	<b>13,500</b>	<b>13,743</b>	<b>243</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	12,998	12,998	-
Unobligated balance, start of year	-	(12,998)	(12,998)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>3,551</b>	<b>13,500</b>	<b>13,743</b>	<b>243</b>
<b>Full Time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

N/A

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Global Entry User Fees  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	2,550	9,694	9,869	175
25.4 O&M of facilities	1,000	3,802	3,870	68
25.7 Operation and maintenance of equipment	1	4	4	-
<b>Total, Other Object Classes</b>	<b>3,551</b>	<b>13,500</b>	<b>13,743</b>	<b>243</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(12,998)	(12,998)	-
Unobligated Balance, end of year	-	12,998	12,998	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>3,551</b>	<b>13,500</b>	<b>13,743</b>	<b>243</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Global Entry User Fees Mission Statement

The Global Entry Program is authorized under the *Consolidated Appropriations Act of 2008* (P.L. 110-161) Section 565(3)(A). The program established an international registered traveler program that incorporated available technologies, such as biometrics and e-passports, and security threat assessments to expedite screening and processing of international passengers. In addition, Section 565 (3)(B) of the *Consolidated Appropriations Act of 2008* authorized the imposition of a fee to recover the full cost of the program. The current fee rate has been set at \$100 per applicant.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$2,550	\$9,694	\$9,869	\$175

In FY 2013, an increase of \$175,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$1,000	\$3,802	\$3,870	\$68

In FY 2013, an increase of \$68,000 in collections is estimated.

## **I. Changes In Full Time Employment**

**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**



# Department of Homeland Security

*U.S. Customs and Border Protection  
Electronic System for Travel Authorization Fee*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Electronic System for Travel Authorization Fee**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Electronic System for Travel Authorization Fee**

P. L.110-53, or the *Implementing Recommendations of the 9/11 Commission Act of 2007* (or the Act) established an electronic authorization system to pre-screen aliens prior to arrival in the United States. This mandate was made operational by the creation of the Electronic System for Travel Authorization (ESTA). ESTA operates under informed compliance, requiring all Visa Waiver Program travelers to obtain authorization prior to travel.

Section 711 (h)(3)(B) of the Act authorizes the Secretary of the Department of Homeland Security to establish a fee via regulation to recover the cost of operating and administering ESTA. CBP conducted a fee study and, in August 2010, published the results in an interim final rule. This rule set the fee at \$4 per application to recover the full costs associated with operating ESTA. The authorization to travel to the United States is valid for a 2-year period, and travelers pay only once during the 2-year period.

ESTA supports the following strategic goals: CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border; and Quadrennial Homeland Security Goal 3.2, Prevent Unlawful Immigration.

##### **B. Budget Activities**

ESTA collections fund operational costs to administer the ESTA program and maintain information technology (IT) equipment. Fee revenue funds the salaries and benefits of personnel, overtime and the cost to maintain kiosks and other IT equipment.

ESTA funds support subprogram 1, Pre-Arrival Processing, within Line of Business 3, Securing and Facilitating Flows of People. The purpose of Pre-Arrival Processing is to improve the targeting, screening, and apprehension of high-risk international travelers to prevent terrorist attacks and criminal activity while speeding the processing of legitimate travelers.

##### **C. Budget Request Summary**

CBP requests 27 positions, 27 full-time equivalent employees, and \$46.318 million in Fiscal Year (FY) 2013 for ESTA. The Office of Field Operations estimates that more than 11 million applications will be processed by CBP in 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Electronic System for Travel Authorization Fee**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Electronic System for Travel Authorization Fee	27	27	31,441	27	27	45,500	27	27	46,318	-	-	818	-	-	-	-	-	818
<b>Total, Electronic System for Travel Authorization</b>	<b>27</b>	<b>27</b>	<b>31,441</b>	<b>27</b>	<b>27</b>	<b>45,500</b>	<b>27</b>	<b>27</b>	<b>46,318</b>	<b>-</b>	<b>-</b>	<b>818</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>818</b>
Subtotal, Enacted Appropriations and Budget Estimates	27	27	31,441	27	27	45,500	27	27	46,318	-	-	818	-	-	-	-	-	818
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>27</b>	<b>27</b>	<b>31,441</b>	<b>27</b>	<b>27</b>	<b>45,500</b>	<b>27</b>	<b>27</b>	<b>46,318</b>	<b>-</b>	<b>-</b>	<b>818</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>818</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Electronic System for Travel Authorization Fee  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Electronic System for Travel Authorization Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>27</b>	<b>27</b>	<b>31,441</b>
<b>2012 Enacted Budget Authority</b>	<b>27</b>	<b>27</b>	<b>45,500</b>
2013 Adjustments-to-Base	-	-	818
<b>2013 Current Services</b>	<b>27</b>	<b>27</b>	<b>46,318</b>
<b>2013 Total Requested Budget Authority</b>	<b>27</b>	<b>27</b>	<b>46,318</b>
Total Change 2012 to 2013	-	-	818

#### **CURRENT SERVICES PROGRAM DESCRIPTION**

All passengers from countries that are part of the Visa Waiver Program (VWP) are required to submit an application via the Electronic System for Travel Authorization (ESTA) to determine eligibility to travel to the United States. A passenger whose ESTA application has been rejected must apply for a visa before traveling to the United States. The objective of ESTA is to make entry procedures into the United States more efficient and ensure visitors feel welcome. ESTA counterbalances vulnerabilities inherent in visa-free travel by adding a layer of advance scrutiny that enables CBP frontline personnel to focus even more on the small population of potentially dangerous travelers. Revenues from user fees fund ESTA operations and support the following goals: CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border; and Quadrennial Homeland Security Goal 3.2, Prevent Unlawful Immigration.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Electronic System for Travel Authorization Fee**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	27	27	31,441
FY 2012 Enacted Budget Authority	27	27	45,500
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Increase in Collections	-	-	818
Total, Increases	-	-	818
Total, Adjustments-to-Base	-	-	818
 FY 2013 Current Services	 27	 27	 46,318
Program Changes	-	-	-
	-	-	-
Total, Program Changes	-	-	-
 FY 2013 Requested Budget Authority	 27	 27	 46,318
FY 2012 to FY 2013 Total Change	-	-	818



## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Electronic System for Travel Authorization Fee  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	27	27	31,441
<b>FY 2012 Enacted Budget Authority</b>	27	27	45,500
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	818
<b>Total, Adjustments-to-Base</b>	-	-	818
<b>FY 2013 Current Services</b>	27	27	46,318
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	27	27	46,318
<b>FY 2012 to FY 2013 Total Change</b>	-	-	818

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Electronic System for Travel Authorization Fee	27	27	45,500	-	-	818	-	-	-	27	27	46,318	-	-	818
<b>Total</b>	27	27	45,500	-	-	818	-	-	-	27	27	46,318	-	-	818

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
Electronic System for Travel Authorization Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,613	2,335	2,376	41
11.6 Pay Diff (Sun/Night)	258	373	380	7
12.1 Benefits	661	957	974	17
12.6 Temp Quarters	68	98	100	2
<b>Total, Personnel and Other Compensation Benefits</b>	<b>2,600</b>	<b>3,763</b>	<b>3,830</b>	<b>67</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	154	223	227	4
22.0 Transportation of things	19	27	27	-
23.3 Communications, utilities, and misc. charges	10	14	14	-
25.2 Other services	26,521	38,380	39,071	691
25.7 Operation and maintenance of equipment	336	486	495	9
26.0 Supplies and materials	80	116	118	2
31.0 Equipment	1,721	2,491	2,536	45
<b>Total, Other Object Classes</b>	<b>28,841</b>	<b>41,737</b>	<b>42,488</b>	<b>751</b>
<b>Total, Direct Obligations</b>	<b>31,441</b>	<b>45,500</b>	<b>46,318</b>	<b>818</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	15,013	15,013	-
Unobligated balance, start of year	-	(15,013)	(15,013)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>31,441</b>	<b>45,500</b>	<b>46,318</b>	<b>818</b>
<b>Full Time Equivalents</b>	<b>27</b>	<b>27</b>	<b>27</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Electronic System for Travel Authorization Fee  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	27	27	27	-
<b>Total Permanent Positions</b>	<b>27</b>	<b>27</b>	<b>27</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	27	27	27	-
<b>Total, Electronic System for Travel Authorization</b>	<b>27</b>	<b>27</b>	<b>27</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>27</b>	<b>27</b>	<b>27</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Electronic System for Travel Authorization Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,613	2,335	2,376	41
11.6 Pay Diff (Sun/Night)	258	373	380	7
12.1 Benefits	661	957	974	17
12.6 Temp Quarters	68	98	100	2
<b>Total, Personnel and Compensation Benefits</b>	<b>2,600</b>	<b>3,763</b>	<b>3,830</b>	<b>67</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	154	223	227	4
22.0 Transportation of things	19	27	27	-
23.3 Communications, utilities, and misc. charges	10	14	14	-
25.2 Other services	26,521	38,380	39,071	691
25.7 Operation and maintenance of equipment	336	486	495	9
26.0 Supplies and materials	80	116	118	2
31.0 Equipment	1,721	2,491	2,536	45
<b>Total, Other Object Classes</b>	<b>28,841</b>	<b>41,737</b>	<b>42,488</b>	<b>751</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(15,013)	(15,013)	-
Unobligated Balance, end of year	-	15,013	15,013	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>31,441</b>	<b>45,500</b>	<b>46,318</b>	<b>818</b>
<b>Full Time Equivalents</b>	<b>27</b>	<b>27</b>	<b>27</b>	<b>-</b>

### Electronic System for Travel Authorization Fee Mission Statement

P. L.110-53 or the *9/11 Act* (or the Act) includes languages to establish an electronic authorization system to pre-screen aliens prior to arrival in the United States to avoid security risks. This mandate was made operational by the creation of the Electronic System for Travel Authorization (ETSA or the System). ESTA operates under informed compliance, requiring all VISA Waiver travelers to obtain authorization prior to travel.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,613	2,335	2,376	41
11.6 Pay Diff (Sun/Night)	258	373	380	7
12.1 Benefits	661	957	974	17
12.6 Temp Quarters	68	98	100	2
<b>Total, Salaries &amp; Benefits</b>	<b>2,600</b>	<b>3,763</b>	<b>3,830</b>	<b>67</b>

In FY 2013, an increase of \$67,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$154	\$223	\$227	\$4

In FY 2013, an increase of \$4,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of thing	\$19	\$27	\$27	\$0

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$10	\$14	\$14	\$0

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$26,521	\$38,380	\$39,071	\$691

In FY 2013, an increase of \$691,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$336	\$486	\$495	\$9

In FY 2013, an increase of \$9,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$80	\$116	\$118	\$2

In FY 2013, an increase of \$2,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$1,721	\$2,491	\$2,536	\$45

In FY 2013, an increase of \$45,000 in collections is estimated.



## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	27	27	27
<b>Year End Actuals/Estimated FTEs:</b>	27	27	27
<b>Net Change from prior year base to Budget Year Estimate:</b>	-	-	-

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# **Department of Homeland Security**

*U.S. Customs and Border Protection  
APHIS User Fees*

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Fiscal Year 2013  
Congressional Justification

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# BUDGET REQUEST AND SUPPORTING INFORMATION

## U.S. Customs and Border Protection APHIS User Fees

### I. Appropriation Overview

#### A. Mission Statement for APHIS User Fees

Section 2509 of the *Food, Agriculture, Conservation and Trade Act of 1990* (P.L. 101-624) authorized the United States Department of Agriculture (USDA) to collect user fees for various services. The law codified, as 21 U.S.C. 136a, authorized the Secretary of Agriculture to prescribe and collect fees to recover the costs of providing Agriculture Quarantine and Inspection (AQI) services for international arrival of passengers, conveyances, animals, plants, and agricultural goods at ports of entry. This authority established fees on five modes of international passenger transportation: (1) commercial aircraft; (2) sea going vessels; (3) trucks with single entry; (4) trucks operating under a multiple entry decal; and (5) loaded rail cars.

The *Homeland Security Act of 2002* (P.L. 107-296) transferred certain inspection functions from USDA to the Department of Homeland Security (DHS). The revenues from these fees are to be used to reimburse the full cost incurred in providing inspectional activities. Section of 421(f) of the *Homeland Security Act of 2002*, mandates U.S. Customs and Border Protection (CBP) and USDA to agree on a periodic transfer of funds from the latter to the former. Under a Memorandum of Agreement between CBP and USDA, CBP receives approximately 60.64 percent of the collections from the AQI user fee. The revenues from the current fee level cover 75 percent of the costs incurred in providing the inspectional activities associated with the passengers and conveyances that are subject to fees. In Fiscal Year (FY) 2012, USDA and CBP will complete a fee study to determine the appropriate fee level to recover the USDA and CBP cost associated with this program.

The APHIS fee supports the CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; and the Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border.

#### B. Budget Activities

CBP agriculture specialists and officers perform biological and agricultural inspections to prevent entry of organisms that might be used for biological warfare or terrorism, and to prevent the introduction of harmful agriculture pests and diseases into the United States. CBP agriculture specialists and officers inspect passenger declarations and cargo manifests, international air passengers, baggage, cargo, and conveyances, and may hold suspect articles in quarantine to prevent the introduction of plant or animal diseases.

Most of the AQI fee funds the salary and benefits and overtime costs for Customs and Border Patrol officers (CBPOs) who perform APHIS-related functions. APHIS funds support Line of Business 2,

Securing and Facilitating Flows of Cargo. APHIS fees primarily support subprogram 3, Advance National and Economic Security and subprogram 5, Cargo/Conveyance Entry.

### **C. Budget Request Summary**

In FY 2013, CBP requests 2,169 positions, 2,134 full-time equivalent employees, and \$339.150 million for AQI to fund salaries, benefits, and overtime costs for CBPOs who perform AQI-related functions.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
U.S. Customs and Border Protection  
APHIS User Fees**

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
APHIS User Fees	2,169	2,134	317,985	2,169	2,134	324,876	2,169	2,134	329,000	-	-	4,124	-	-	-	-	-	4,124
<b>Subtotal, Mandatory</b>	<b>2,169</b>	<b>2,134</b>	<b>317,985</b>	<b>2,169</b>	<b>2,134</b>	<b>324,876</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>	<b>-</b>	<b>-</b>	<b>4,124</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,124</b>
<b>Total, APHIS inspection fee</b>	<b>2,169</b>	<b>2,134</b>	<b>317,985</b>	<b>2,169</b>	<b>2,134</b>	<b>324,876</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>	<b>-</b>	<b>-</b>	<b>4,124</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,124</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>2,169</b>	<b>2,134</b>	<b>317,985</b>	<b>2,169</b>	<b>2,134</b>	<b>324,876</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>	<b>-</b>	<b>-</b>	<b>4,124</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,124</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>2,169</b>	<b>2,134</b>	<b>317,985</b>	<b>2,169</b>	<b>2,134</b>	<b>324,876</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>	<b>-</b>	<b>-</b>	<b>4,124</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,124</b>



### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**APHIS User Fees**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: APHIS User Fees**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2,169</b>	<b>2,134</b>	<b>317,985</b>
<b>2012 Enacted Budget Authority</b>	<b>2,169</b>	<b>2,134</b>	<b>324,876</b>
2013 Adjustments-to-Base	-	-	4,124
<b>2013 Current Services</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>
<b>2013 Total Requested Budget Authority</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>
Total Change 2012 to 2013	-	-	4,124

#### CURRENT SERVICES PROGRAM DESCRIPTION

APHIS funds will be used for international air passenger, commercial aircraft clearance, commercial vessel, commercial truck (per crossing and annual decal), and loaded rail car inspectional activities associated with APHIS user fees. Revenues from these fees will support U.S. Customs and Border Protection (CBP) inspection functions and help CBP meet: CBP Strategic Goal 1, Secure the Nation’s Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; and Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**N/A**

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**APHIS User Fees**  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	2,169	2,134	317,985
FY 2012 Enacted Budget Authority	2,169	2,134	324,876
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Increases	-	-	-
Increase in Collections	-	-	4,124
Total, Increases	-	-	4,124
Total, Adjustments-to-Base	-	-	4,124
FY 2013 Current Services	2,169	2,134	329,000
Program Changes	-	-	-
	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	2,169	2,134	329,000
FY 2012 to FY 2013 Total Change	-	-	4,124

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
APHIS User Fees  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	2,169	2,134	317,985
FY 2012 Enacted Budget Authority	2,169	2,134	324,876
Adjustments-to-Base	-	-	-
Increases	-	-	4,124
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>4,124</b>
FY 2013 Current Services	2,169	2,134	329,000
Program Changes	-	-	-
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
FY 2013 Requested Budget Authority	2,169	2,134	329,000
FY 2012 to FY 2013 Total Change	-	-	4,124

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
APHIS User Fees	2,169	2,134	324,876	-	-	4,124	-	-	-	2,169	2,134	329,000	-	-	4,124
<b>Total</b>	<b>2,169</b>	<b>2,134</b>	<b>324,876</b>	<b>-</b>	<b>-</b>	<b>4,124</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>2,169</b>	<b>2,134</b>	<b>329,000</b>	<b>-</b>	<b>-</b>	<b>4,124</b>

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**APHIS User Fees**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	187,078	191,131	193,558	2,427
11.6 Pay Diff (Sun/Night)	34,290	35,033	35,478	445
11.7 Military personnel/Awards	2,050	2,094	2,121	27
12.1 Benefits	83,184	84,987	86,066	1,079
12.4 Allowances	140	143	145	2
<b>Total, Personnel and Other Compensation Benefits</b>	<b>306,742</b>	<b>313,388</b>	<b>317,368</b>	<b>3,980</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	820	838	849	11
23.1 GSA rent	8,225	8,404	8,510	106
23.3 Communications, utilities, and misc. charges	86	88	88	-
25.2 Other services	545	557	565	8
25.7 Operation and maintenance of equipment	5	5	5	-
26.0 Supplies and materials	1,562	1,596	1,615	19
<b>Total, Other Object Classes</b>	<b>11,243</b>	<b>11,488</b>	<b>11,632</b>	<b>144</b>
<b>Total, Direct Obligations</b>	<b>317,985</b>	<b>324,876</b>	<b>329,000</b>	<b>4,124</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	1,099	1,099	-
Unobligated balance, start of year	-	(1,099)	(1,099)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>317,985</b>	<b>324,876</b>	<b>329,000</b>	<b>4,124</b>
<b>Full Time Equivalents</b>	<b>2,134</b>	<b>2,134</b>	<b>2,134</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
APHIS User Fees  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	2,169	2,169	2,169	-
<b>Total Permanent Positions</b>	<b>2,169</b>	<b>2,169</b>	<b>2,169</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	2,065	2,065	2,065	-
Foreign Field	104	104	104	-
<b>Total, APHIS inspection fee</b>	<b>2,169</b>	<b>2,169</b>	<b>2,169</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>2,134</b>	<b>2,134</b>	<b>2,134</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-



## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
APHIS User Fees  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	187,078	191,131	193,558	2,427
11.6 Pay Diff (Sun/Night)	34,290	35,033	35,478	445
11.7 Military personnel/Awards	2,050	2,094	2,121	27
12.1 Benefits	83,184	84,987	86,066	1,079
12.4 Allowances	140	143	145	2
<b>Total, Personnel and Compensation Benefits</b>	<b>306,742</b>	<b>313,388</b>	<b>317,368</b>	<b>3,980</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	820	838	849	11
23.1 GSA rent	8,225	8,404	8,510	106
23.3 Communications, utilities, and misc. charges	86	88	88	-
25.2 Other services	545	557	565	8
25.7 Operation and maintenance of equipment	5	5	5	-
26.0 Supplies and materials	1,562	1,596	1,615	19
<b>Total, Other Object Classes</b>	<b>11,243</b>	<b>11,488</b>	<b>11,632</b>	<b>144</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(1,099)	(1,099)	-
Unobligated Balance, end of year	-	1,099	1,099	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>317,985</b>	<b>324,876</b>	<b>329,000</b>	<b>4,124</b>
<b>Full Time Equivalents</b>	<b>2,134</b>	<b>2,134</b>	<b>2,134</b>	-

### APHIS User Fees Mission Statement

Section 2509 of the *Food, Agriculture, Conservation and Trade Act of 1990* (P.L. 101-624) authorized the United States Department of Agriculture to collect user fees for various services. The law codified as 21 U.S.C. 136 established seven types of Plant Protection and Quarantine user fees, six of which are the Agricultural Quarantine and Inspection fees, known to CBP as the APHIS user fees. The six established processing fees are for international air passengers, commercial aircraft clearance, commercial vessels, commercial trucks, commercial truck decals, and loaded rail cars. The revenues from the current fee level cover 75 percent of the costs incurred in providing the inspectional activities associated with the passengers and conveyances that are subject to fees.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	187,078	191,131	193,558	2,427
11.6 Pay Diff (Sun/Night)	34,290	35,033	35,478	445
11.7 Military personnel/Awards	2,050	2,094	2,121	27
12.1 Benefits	83,184	84,987	86,066	1,079
12.4 Allowances	140	143	145	2
<b>Total, Salaries &amp; Benefits</b>	<b>306,742</b>	<b>313,388</b>	<b>317,368</b>	<b>3,980</b>

In FY 2013, an increase of \$3.980 million in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$820</b>	<b>\$838</b>	<b>\$849</b>	<b>\$11</b>

In FY 2013, an increase of \$11,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$8,225</b>	<b>\$8,404</b>	<b>\$8,510</b>	<b>\$106</b>

In FY 2013, an increase of \$106,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$86</b>	<b>\$88</b>	<b>\$88</b>	<b>\$0</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$545</b>	<b>\$557</b>	<b>\$565</b>	<b>\$8</b>

In FY 2013, an increase of \$8,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operations and Maintenance of Equipment</b>	<b>\$5</b>	<b>\$5</b>	<b>\$5</b>	<b>\$0</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$1,562</b>	<b>\$1,596</b>	<b>\$1,615</b>	<b>\$19</b>

In FY 2013, an increase of \$19,000 in collections is estimated.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>2,134</b>	<b>2,134</b>	<b>2,134</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>2,134</b>	<b>2,134</b>	<b>2,134</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*U.S. Customs and Border Protection*  
*Small Airport User Fee*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Small Airport User Fee**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Small Airport User Fee**

The Small Airport User Fee is authorized under 19 U.S.C. 58b and administered under 19 U.S.C. 58c(b)(9)(A)(i). The Small Airport User Fee program supports inspection services at participating small airports on a fully reimbursable basis. The fee charged under this program is set forth in a Memorandum of Agreement between the user fee airports and U.S. Customs and Border Protection (CBP), and it may be adjusted annually as costs and requirements change.

The Small Airport User Fee supports CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; and Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border.

##### **B. Budget Activities**

The Small Airport User Fee provides funding for inspection services by CBP officers. Currently, CBP supports 57 small airports. In FY 2012, CBP began operations at Ellington Field in Houston, Texas. These small airports across the country pay CBP a startup and recurring fee, which reimburses the cost of CBP inspection services. In FY 2011, there was a decrease in revenue due to the timing of revenue recognition.

Collections from the Small Airport User Fee support Line of Business 3, Securing and Facilitating Flows of People. Within that Line of Business, the Small Airport Fee has the greatest impact on subprogram 2, Inbound Inspection, which supports screening and inspection of all travelers. The Pre-Arrival Processing and Outbound Inspection subprograms are also supported by the Small Airport User Fee.

##### **C. Budget Request Summary**

In FY 2013, CBP requests 70 positions, 69 full-time equivalent employees, and \$8.318 million in anticipated collections from the Small Airport User Fee.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Customs and Border Protection Small Airport User Fee

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Small Airport User Fee	70	69	6,247	70	69	8,167	70	69	8,318	-	-	151	-	-	-	-	-	151
<b>Subtotal, Mandatory</b>	<b>70</b>	<b>69</b>	<b>6,247</b>	<b>70</b>	<b>69</b>	<b>8,167</b>	<b>70</b>	<b>69</b>	<b>8,318</b>	<b>-</b>	<b>-</b>	<b>151</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>151</b>
<b>Total, Small Airport User Fee*</b>	<b>70</b>	<b>69</b>	<b>6,247</b>	<b>70</b>	<b>69</b>	<b>8,167</b>	<b>70</b>	<b>69</b>	<b>8,318</b>	<b>-</b>	<b>-</b>	<b>151</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>151</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>70</b>	<b>69</b>	<b>6,247</b>	<b>70</b>	<b>69</b>	<b>8,167</b>	<b>70</b>	<b>69</b>	<b>8,318</b>	<b>-</b>	<b>-</b>	<b>151</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>151</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>70</b>	<b>69</b>	<b>6,247</b>	<b>70</b>	<b>69</b>	<b>8,167</b>	<b>70</b>	<b>69</b>	<b>8,318</b>	<b>-</b>	<b>-</b>	<b>151</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>151</b>

\*Although the FY 2013 Request for Small Airport User Fee is \$8,318 million in the above table and other supporting budget materials, upon further review, CBP has refined the estimate and is now projecting collections of \$7,136 million in FY 2013.

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Small Airport User Fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Small Airport User Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>70</b>	<b>69</b>	<b>6,247</b>
<b>2012 Enacted Budget Authority</b>	<b>70</b>	<b>69</b>	<b>8,167</b>
2013 Adjustments-to-Base	-	-	151
<b>2013 Current Services</b>	<b>70</b>	<b>69</b>	<b>8,318</b>
<b>2013 Total Requested Budget Authority</b>	<b>70</b>	<b>69</b>	<b>8,318</b>
Total Change 2012 to 2013	-	-	151

#### **CURRENT SERVICES PROGRAM DESCRIPTION**

The Small Airport User Fee program supports inspection services provided to participating small airports on a fully reimbursable basis. The amount charged is determined by how many CBP Officers are stationed at the port and whether it is a new or existing facility. Revenue from this fee will help CBP meet: CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; and Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Small Airport User Fee  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>70</b>	<b>69</b>	<b>6,247</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>70</b>	<b>69</b>	<b>8,167</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
Increase in Collections	-	-	151
<b>Total, Increases</b>	-	-	<b>151</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>151</b>
<b>FY 2013 Current Services</b>	<b>70</b>	<b>69</b>	<b>8,318</b>
<b>Program Changes</b>	-	-	-
	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	<b>70</b>	<b>69</b>	<b>8,318</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>151</b>

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Small Airport User Fee  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	70	69	6,247
FY 2012 Enacted Budget Authority	70	69	8,167
Adjustments-to-Base	-	-	-
Increases	-	-	151
Total, Adjustments-to-Base	-	-	151
FY 2013 Current Services	70	69	8,318
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	70	69	8,318
FY 2012 to FY 2013 Total Change	-	-	151

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Small Airport User Fee	70	69	8,167	-	-	151	-	-	-	70	69	8,318	-	-	151
<b>Total</b>	<b>70</b>	<b>69</b>	<b>8,167</b>	<b>-</b>	<b>-</b>	<b>151</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>70</b>	<b>69</b>	<b>8,318</b>	<b>-</b>	<b>-</b>	<b>151</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
U.S. Customs and Border Protection  
Small Airport User Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,323	5,516	5,613	97
11.3 Other than full-time permanent	-	1	1	-
11.5 Other personnel compensation	172	411	417	6
11.7 Military personnel/Awards	52	59	60	1
12.1 Benefits	1,603	2,042	2,085	43
<b>Total, Personnel and Other Compensation Benefits</b>	<b>6,150</b>	<b>8,029</b>	<b>8,176</b>	<b>147</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	44	61	62	1
23.3 Communications, utilities, and misc. charges	17	24	24	-
25.2 Other services	-	2	2	-
25.7 Operation and maintenance of equipment	6	12	13	1
26.0 Supplies and materials	25	33	35	2
31.0 Equipment	5	6	6	-
<b>Total, Other Object Classes</b>	<b>97</b>	<b>138</b>	<b>142</b>	<b>4</b>
<b>Total, Direct Obligations</b>	<b>6,247</b>	<b>8,167</b>	<b>8,318</b>	<b>151</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	15,999	15,999	-
Unobligated balance, start of year	-	(15,999)	(15,999)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>6,247</b>	<b>8,167</b>	<b>8,318</b>	<b>151</b>
<b>Full Time Equivalents</b>	<b>69</b>	<b>69</b>	<b>69</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Small Airport User Fee  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	70	70	70	-
<b>Total Permanent Positions</b>	<b>70</b>	<b>70</b>	<b>70</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	70	70	70	-
<b>Total, Small Airport User Fee</b>	<b>70</b>	<b>70</b>	<b>70</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>69</b>	<b>69</b>	<b>69</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Small Airport User Fee**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,323	5,516	5,613	97
11.3 Other than full-time permanent	-	1	1	-
11.5 Other personnel compensation	172	411	417	6
11.7 Military personnel/Awards	52	59	60	1
12.1 Benefits	1,603	2,042	2,085	43
<b>Total, Personnel and Compensation Benefits</b>	<b>6,150</b>	<b>8,029</b>	<b>8,176</b>	<b>147</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	44	61	62	1
23.3 Communications, utilities, and misc. charges	17	24	24	-
25.2 Other services	-	2	2	-
25.7 Operation and maintenance of equipment	6	12	13	1
26.0 Supplies and materials	25	33	35	2
31.0 Equipment	5	6	6	-
<b>Total, Other Object Classes</b>	<b>97</b>	<b>138</b>	<b>142</b>	<b>4</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(15,999)	(15,999)	-
Unobligated Balance, end of year	-	15,999	15,999	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>6,247</b>	<b>8,167</b>	<b>8,318</b>	<b>151</b>
<b>Full Time Equivalents</b>	<b>69</b>	<b>69</b>	<b>69</b>	<b>-</b>

### Small Airport User Fee Mission Statement

Small Airport Facilities is authorized under 19 U.S.C. 58b and administered under 19 U.S.C. 58C (b)(9)(A)(i). The User Fee Airports Program authorizes inspection services to be provided to participating small airports on a fully reimbursable basis. The fee charged under this program is set forth in a Memorandum of Agreement between the small airport facility and the agency, and may be adjusted annually as costs and requirements change.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	4,323	5,516	5,613	97
11.3 Other than full-time permanent	-	1	1	-
11.5 Other personnel compensation	172	411	417	6
11.7 Military personnel/Awards	52	59	60	1
12.1 Benefits	1,603	2,042	2,085	43
<b>Total, Salaries &amp; Benefits</b>	<b>6,150</b>	<b>8,029</b>	<b>8,176</b>	<b>147</b>

In FY 2013, an increase of \$147,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$44</b>	<b>\$61</b>	<b>\$62</b>	<b>\$1</b>

In FY 2013, an increase of \$1,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$17</b>	<b>\$24</b>	<b>\$24</b>	<b>\$0</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$0</b>	<b>\$2</b>	<b>\$2</b>	<b>\$0</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	<b>\$6</b>	<b>\$12</b>	<b>\$13</b>	<b>\$1</b>

In FY 2013, an increase of \$1,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$25</b>	<b>\$33</b>	<b>\$35</b>	<b>\$2</b>

In FY 2013, an increase of \$2,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$5</b>	<b>\$6</b>	<b>\$6</b>	<b>\$0</b>

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>69</b>	<b>69</b>	<b>69</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>69</b>	<b>69</b>	<b>69</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>



**Department of  
Homeland Security**  
*U.S. Customs and Border Protection  
Puerto Rico Trust Fund*

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Fiscal Year 2013  
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J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity .....	N/A
K. DHS Balanced Workforce Strategy .....	N/A

## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Customs and Border Protection Puerto Rico Trust Fund**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Puerto Rico Trust Fund**

Title 48 U.S.C. 740 authorizes the collections of duties and taxes in Puerto Rico and the creation of the Puerto Rico Trust Fund (PRTF). Collections in Puerto Rico, less the costs of collecting duties and taxes, are transferred to Puerto Rico's Treasury (Hacienda) to be expended as required by law for the Government of Puerto Rico and the benefit thereof.

The PRTF collections fund inspection of passengers and merchandise entering Puerto Rico from foreign locations, and they help to combat criminal elements that have focused on Puerto Rico as a gateway to illegally introduce narcotics into the U.S. mainland.

The PRTF supports CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; and the Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border.

##### **B. Budget Activities**

CBP administers the PRTF and retains a portion of the funds to pay for its expenses associated with the collection of duties and taxes in Puerto Rico. CBP annually transfers funding from PRTF to U.S. Immigration Customs Enforcement (ICE) for enforcement duties it performs in Puerto Rico. The reimbursement from the PRTF to ICE is based on biennial agreements which ICE has negotiated with the Government of Puerto Rico. This transfer, however, is subject to availability of funds in the PRTF. PRTF funding is prioritized in the following order: the Office of Field Operations, ICE, and then the Office of Air and Marine. Any remaining balance is then remitted to the Government of Puerto Rico.

Collections from the PRTF are utilized in support of Lines of Business (LOBs) 1, 2, 3, 5 and 6 as follows:

- LOB 1, Securing America's Borders
- LOB 2, Securing and Facilitating Flows of Cargo
  - Subprogram 3, Advance National and Economic
  - Subprogram 5, Cargo/Conveyance Entry and Security
- LOB 3, Securing and Facilitating Flows of People
  - Pre-arrival Processing
  - Inbound Inspection and Outbound Inspection
- LOB 5, Enterprise Business Services
- LOB 6, Mission Support
  - Partner Programs

Funding for this program is used for salaries and operating expenses incurred to identify, apprehend, detain, and (when necessary) remove illegal aliens from the United States and U.S. Territories. For CBP, most of the PRTF collections cover the cost of performing collection and inspection duties in Puerto Rico. This includes the salaries and benefits of personnel, contractual services, information technology, equipment and technical support.

### **C. Budget Request Summary**

CBP requests 296 positions, 291 full-time equivalents employees, and \$96.367 million in Fiscal Year 2013 for the PRTF. This estimate is based on projected import duties and certain tax collections.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Customs and Border Protection Puerto Rico Trust Fund

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Puerto Rico Trust Fund	302	297	84,717	302	297	94,662	302	297	96,367	-	-	1,705	-	-	-	-	-	1,705
<b>Subtotal, Mandatory</b>	<b>302</b>	<b>297</b>	<b>84,717</b>	<b>302</b>	<b>297</b>	<b>94,662</b>	<b>302</b>	<b>297</b>	<b>96,367</b>	<b>-</b>	<b>-</b>	<b>1,705</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,705</b>
<b>Total, Puerto Rico Trust Fund</b>	<b>302</b>	<b>297</b>	<b>84,717</b>	<b>302</b>	<b>297</b>	<b>94,662</b>	<b>302</b>	<b>297</b>	<b>96,367</b>	<b>-</b>	<b>-</b>	<b>1,705</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,705</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>302</b>	<b>297</b>	<b>84,717</b>	<b>302</b>	<b>297</b>	<b>94,662</b>	<b>302</b>	<b>297</b>	<b>96,367</b>	<b>-</b>	<b>-</b>	<b>1,705</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,705</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>302</b>	<b>297</b>	<b>84,717</b>	<b>302</b>	<b>297</b>	<b>94,662</b>	<b>302</b>	<b>297</b>	<b>96,367</b>	<b>-</b>	<b>-</b>	<b>1,705</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,705</b>



### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Customs and Border Protection  
Puerto Rico Trust Fund  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Puerto Rico Trust Fund**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>302</b>	<b>297</b>	<b>84,717</b>
<b>2012 Enacted Budget Authority</b>	<b>302</b>	<b>297</b>	<b>94,662</b>
2013 Adjustments-to-Base	-	-	1,705
<b>2013 Current Services</b>	<b>302</b>	<b>297</b>	<b>96,367</b>
<b>2013 Total Requested Budget Authority</b>	<b>302</b>	<b>297</b>	<b>96,367</b>
Total Change 2012 to 2013	-	-	1,705

#### **CURRENT SERVICES PROGRAM DESCRIPTION**

U.S. Customs and Border Protection (CBP) is authorized to use collections in the Puerto Rico Trust Fund to cover costs related to the collections of duties and taxes in Puerto Rico. CBP's Office of Air and Marine and U.S. Immigration and Customs Enforcement negotiate biennial agreements with Puerto Rico's Treasury that are funded with the anticipated surplus Puerto Rico expects to receive after CBP covers its customs-related costs. Revenues from import duties and taxes will support CBP's inspection functions and help CBP meet: CBP Strategic Goal 1, Secure the Nation's Borders to Protect America from the Entry of Dangerous People and Goods and Prevent Unlawful Trade and Travel; and Quadrennial Homeland Security Goal 2.1, Effectively Control U.S. Air, Land, and Sea Border.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Customs and Border Protection  
Puerto Rico Trust Fund  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>302</b>	<b>297</b>	<b>84,717</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>302</b>	<b>297</b>	<b>94,662</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
Increase in Collections	-	-	1,705
<b>Total, Increases</b>	-	-	<b>1,705</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>1,705</b>
<b>FY 2013 Current Services</b>	<b>302</b>	<b>297</b>	<b>96,367</b>
<b>Program Changes</b>	-	-	-
	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	<b>302</b>	<b>297</b>	<b>96,367</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>1,705</b>

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Customs and Border Protection  
Puerto Rico Trust Fund  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	302	297	84,717
FY 2012 Enacted Budget Authority	302	297	94,662
Adjustments-to-Base	-	-	-
Increases	-	-	1,705
Total, Adjustments-to-Base	-	-	1,705
FY 2013 Current Services	302	297	96,367
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	302	297	96,367
FY 2012 to FY 2013 Total Change	-	-	1,705

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Puerto Rico Trust Fund	302	297	94,662	-	-	1,705	-	-	-	302	297	96,367	-	-	1,705
<b>Total</b>	<b>302</b>	<b>297</b>	<b>94,662</b>	<b>-</b>	<b>-</b>	<b>1,705</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>302</b>	<b>297</b>	<b>96,367</b>	<b>-</b>	<b>-</b>	<b>1,705</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Customs and Border Protection**  
**Puerto Rico Trust Fund**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	19,273	21,536	21,924	388
11.3 Other than full-time permanent	633	707	720	13
11.5 Other personnel compensation	2,418	2,702	2,751	49
11.6 Pay Diff (Sun/Night)	1,007	1,125	1,145	20
11.7 Military personnel/Awards	240	268	273	5
12.1 Benefits	8,416	9,404	9,573	169
12.4 Allowances	2,138	2,389	2,432	43
<b>Total, Personnel and Other Compensation Benefits</b>	<b>34,125</b>	<b>38,131</b>	<b>38,818</b>	<b>687</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	644	720	733	13
22.0 Transportation of things	36	40	41	1
23.1 GSA rent	219	245	249	4
23.2 Other rent	36	40	41	1
23.3 Communications, utilities, and misc. charges	2,936	3,281	3,340	59
25.1 Advisory and assistance services	3	3	3	-
25.2 Other services	7,768	8,680	8,836	156
25.3 Purchases from Gov't accts.	30,939	34,571	35,193	622
25.4 O&M of facilities	4,423	4,942	5,031	89
25.6 Medical care	45	50	51	1
25.7 Operation and maintenance of equipment	1,175	1,313	1,337	24
26.0 Supplies and materials	1,568	1,752	1,784	32
31.0 Equipment	800	894	910	16
<b>Total, Other Object Classes</b>	<b>50,592</b>	<b>56,531</b>	<b>57,549</b>	<b>1,018</b>
<b>Total, Direct Obligations</b>	<b>84,717</b>	<b>94,662</b>	<b>96,367</b>	<b>1,705</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>84,717</b>	<b>94,662</b>	<b>96,367</b>	<b>1,705</b>
<b>Full Time Equivalents</b>	<b>297</b>	<b>297</b>	<b>297</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Customs and Border Protection  
Puerto Rico Trust Fund  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Fee Funded Positions	296	296	296	-
<b>Total Permanent Positions</b>	<b>296</b>	<b>296</b>	<b>296</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
U.S. Field	296	296	296	-
<b>Total, Puerto Rico Trust Fund</b>	<b>296</b>	<b>296</b>	<b>296</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>297</b>	<b>297</b>	<b>297</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Customs and Border Protection  
Puerto Rico Trust Fund**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	19,273	21,536	21,924	388
11.3 Other than full-time permanent	633	707	720	13
11.5 Other personnel compensation	2,418	2,702	2,751	49
11.6 Pay Diff (Sun/Night)	1,007	1,125	1,145	20
11.7 Military personnel/Awards	240	268	273	5
12.1 Benefits	8,416	9,404	9,573	169
12.4 Allowances	2,138	2,389	2,432	43
<b>Total, Personnel and Compensation Benefits</b>	<b>34,125</b>	<b>38,131</b>	<b>38,818</b>	<b>687</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	644	720	733	13
22.0 Transportation of things	36	40	41	1
23.1 GSA rent	219	245	249	4
23.2 Other rent	36	40	41	1
23.3 Communications, utilities, and misc. charges	2,936	3,281	3,340	59
25.1 Advisory and assistance services	3	3	3	-
25.2 Other services	7,768	8,680	8,836	156
25.3 Purchases from Gov't accts.	30,939	34,571	35,193	622
25.4 O&M of facilities	4,423	4,942	5,031	89
25.6 Medical care	45	50	51	1
25.7 Operation and maintenance of equipment	1,175	1,313	1,337	24
26.0 Supplies and materials	1,568	1,752	1,784	32
31.0 Equipment	800	894	910	16
<b>Total, Other Object Classes</b>	<b>50,592</b>	<b>56,531</b>	<b>57,549</b>	<b>1,018</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>84,717</b>	<b>94,662</b>	<b>96,367</b>	<b>1,705</b>
<b>Full Time Equivalents</b>	<b>297</b>	<b>297</b>	<b>297</b>	-

### Puerto Rico Trust Fund Mission Statement

The duties and taxes related to the Puerto Rico Trust Fund are authorized under 48 U.S.C. 740. The duties and taxes collected in Puerto Rico, less the costs of providing inspection and law enforcement services, are paid into the treasury of Puerto Rico, to be expended as required by law for the Government of Puerto Rico and the benefit thereof. These funds are intended to combat criminal elements who have focused on Puerto Rico as a gateway to illegally introduce narcotics into the mainland of the United States.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	19,273	21,536	21,924	388
11.3 Other than full-time permanent	633	707	720	13
11.5 Other personnel compensation	2,418	2,702	2,751	49
11.6 Pay Diff (Sun/Night)	1,007	1,125	1,145	20
11.7 Military personnel/Awards	240	268	273	5
12.1 Benefits	8,416	9,404	9,573	169
12.4 Allowances	2,138	2,389	2,432	43
<b>Total, Salaries &amp; Benefits</b>	<b>34,125</b>	<b>38,131</b>	<b>38,818</b>	<b>687</b>

In FY 2013, an increase of \$687,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$644	\$720	\$733	\$13

In FY 2013, an increase of \$13,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$36	\$40	\$41	\$1

In FY 2013, an increase of \$1,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$219	\$245	\$249	\$4

In FY 2013, an increase of \$4,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$36	\$40	\$41	\$1

In FY 2013, an increase of \$1,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$2,936	\$3,281	\$3,340	\$59

In FY 2013, an increase of \$59,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$3	\$3	\$3	\$0

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$7,768	\$8,680	\$8,836	\$156

In FY 2013, an increase of \$156,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$30,939	\$34,571	\$35,193	\$622

In FY 2013, an increase of \$622,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$4,423	\$4,942	\$5,031	\$89

In FY 2013, an increase of \$89,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$45	\$50	\$51	\$1

In FY 2013, an increase of \$1,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$1,175	\$1,313	\$1,337	\$24

In FY 2013, an increase of \$24,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$1,568	\$1,752	\$1,784	\$32

In FY 2013, an increase of \$32,000 in collections is estimated.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$800	\$894	\$910	\$16

In FY 2013, an increase of \$16,000 in collections is estimated.





## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>291</b>	<b>297</b>	<b>297</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>291</b>	<b>297</b>	<b>297</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>

**i. Summary of FY Budget Estimates by Appropriation without Emergency Funding**

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement**

**Summary of FY 2013 Budget Estimates by Program Project Activity/Appropriation/Component**

**FY 2013 Request  
(Dollars in Thousands)**

Program Project Activity/Appropriation/Component	FY 2011		FY 2012		FY 2013		Increase(+) or Decrease(-) for FY 2013					
	Actual Obligations		Enacted Budget Authority		Requested Budget Authority		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Salaries and Expenses</b>	19,642	5,392,835	19,982	5,528,874	19,996	5,296,692	14	(232,182)	11	(63,152)	3	(169,030)
Personnel Compensation and Benefits, Service, and Other Costs	1,589	291,035	1,731	233,251	1,716	220,122	(15)	(13,129)	(7)	9,837	(8)	(10,329)
Headquarters Managed IT Investment	353	205,598	356	184,227	350	157,188	(6)	(27,039)	-	4,505	(6)	(31,544)
Legal Proceedings	1,297	221,040	1,447	215,935	1,437	207,580	(10)	(8,355)	(2)	(5,335)	(8)	(3,020)
Domestic Investigations	8,364	1,690,331	8,194	1,725,234	8,203	1,672,526	9	(52,708)	(8)	(20,602)	17	(32,106)
International Investigations	290	112,426	281	114,928	278	110,370	(3)	(4,558)	-	-	(3)	(4,558)
Visa Security Program	60	28,216	62	33,889	64	32,616	2	(1,273)	-	-	2	(1,273)
Intelligence	386	69,434	386	81,503	383	78,748	(3)	(2,755)	-	-	(3)	(2,755)
ERO - Custody Operations	4,732	1,798,618	4,585	2,050,545	4,506	1,959,363	(79)	(91,182)	(7)	(38,029)	(72)	(53,153)
ERO - Fugitive Operations	699	233,000	700	154,597	695	132,925	(5)	(21,672)	-	-	(5)	(21,672)
ERO - Criminal Alien Program	1,143	195,077	1,376	196,696	1,369	216,724	(7)	20,028	-	-	(7)	20,028
ERO - Alternatives to Detention	176	71,832	186	72,373	219	111,590	33	39,217	35	27,266	(2)	(686)
ERO - Transportation and Removal Program	-	276,628	59	276,632	49	258,227	(10)	(18,405)	-	-	(10)	(18,405)
Comprehensive Identification and Removal of Criminal Aliens	553	199,600	619	189,064	727	138,713	108	(50,351)	-	(40,794)	108	(9,557)
Automation Modernization	36	73,762	-	21,710	-	30,500	-	8,790	-	30,500	-	(21,710)
Construction	-	16,476	-	-	-	5,000	-	5,000	-	5,000	-	-
Breached Bond Detention Fund	-	68,459	-	75,000	-	75,000	-	-	-	-	-	-
Student Exchange and Visitor Program	212	103,249	289	120,000	269	120,000	(20)	-	-	-	(20)	-
Immigration Inspection User Fees	26	95,750	-	116,869	-	116,869	-	-	-	-	-	-
<b>Total, U.S. Immigration and Customs Enforcement</b>	<b>19,916</b>	<b>5,750,531</b>	<b>20,271</b>	<b>5,862,453</b>	<b>20,265</b>	<b>5,644,061</b>	<b>(6)</b>	<b>(218,392)</b>	<b>11</b>	<b>(27,652)</b>	<b>(17)</b>	<b>(190,740)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>19,916</b>	<b>5,750,531</b>	<b>20,271</b>	<b>5,862,453</b>	<b>20,265</b>	<b>5,644,061</b>	<b>(6)</b>	<b>(218,392)</b>	<b>11</b>	<b>(27,652)</b>	<b>(17)</b>	<b>(190,740)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>19,916</b>	<b>5,750,531</b>	<b>20,271</b>	<b>5,862,453</b>	<b>20,265</b>	<b>5,644,061</b>	<b>(6)</b>	<b>(218,392)</b>	<b>11</b>	<b>(27,652)</b>	<b>(17)</b>	<b>(190,740)</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
 Homeland and Non-Homeland Allocation by Program/Projects Activity  
 (Dollars in Thousands)

	FY 2011						FY 2012 <sup>1</sup>						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total <sup>2</sup>		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Salaries and Expenses</b>	<b>17,018</b>	<b>4,692,155</b>	<b>2,624</b>	<b>700,680</b>	<b>19,642</b>	<b>5,392,835</b>	<b>17,751</b>	<b>4,810,120</b>	<b>2,231</b>	<b>718,754</b>	<b>19,982</b>	<b>5,528,874</b>	<b>17,732</b>	<b>4,608,123</b>	<b>2,264</b>	<b>688,569</b>	<b>19,996</b>	<b>5,296,692</b>
Personnel Compensation and Benefits, Service, and Other Costs	1,382	253,200	207	37,835	1,589	291,035	1,506	202,928	225	30,323	1,731	233,251	1,459	202,500	257	17,622	1716	220,122
Headquarters Managed IT Investment	307	178,870	46	26,728	353	205,598	309	160,277	47	23,950	356	184,227	309	136,754	41	20,434	350	157,188
Legal Proceedings	1,128	192,305	169	28,735	1,297	221,040	1,259	187,863	188	28,072	1,447	215,935	1,253	180,595	184	26,985	1,437	207,580
Domestic Investigations	7,277	1,470,588	1,087	219,743	8,364	1,690,331	7,346	1,500,954	848	224,280	8,194	1,725,234	7,289	1,455,098	914	217,428	8,203	1,672,526
International Investigations	173	98,199	117	14,227	290	112,426	173	99,987	108	14,941	281	114,928	173	96,022	105	14,348	278	110,370
Visa Security Program	52	24,548	8	3,668	60	28,216	53	29,483	9	4,406	62	33,889	54	28,376	10	4,240	64	32,616
Intelligence	336	60,408	50	9,026	386	69,434	336	70,908	50	10,595	386	81,503	333	68,511	50	10,237	383	78,748
DRO - Custody Operations	4,117	1,564,798	615	233,820	4,732	1,798,618	4,188	1,783,974	397	266,571	4,585	2,050,545	4,153	1,704,646	353	254,717	4,506	1,959,363
DRO - Fugitive Operations	608	202,710	91	30,290	699	233,000	626	134,499	74	20,098	700	154,597	626	115,645	69	17,280	695	132,925
DRO - Criminal Alien Program	994	169,717	149	25,360	1,143	195,077	1,241	171,126	135	25,570	1,376	196,696	1,241	188,550	128	28,174	1,369	216,724
DRO - Alternatives to Detention	158	62,494	18	9,338	176	71,832	158	62,965	28	9,408	186	72,373	186	86,089	33	25,501	219	111,590
DRO - Transportation and Removal Program	0	240,666	0	35,962	0	276,628	0	240,670	59	35,962	59	276,632	0	224,657	49	33,570	49	258,227
Comprehensive Identification and Removal of Criminal Aliens	486	173,652	67	25,948	553	199,600	556	164,486	63	24,578	619	189,064	656	120,680	71	18,033	727	138,713
<b>Automation Modernization</b>	<b>31</b>	<b>66,783</b>	<b>5</b>	<b>6,979</b>	<b>36</b>	<b>73,762</b>	<b>0</b>	<b>18,888</b>	<b>0</b>	<b>2,822</b>	<b>0</b>	<b>21,710</b>	<b>0</b>	<b>26,535</b>	<b>0</b>	<b>3,965</b>	<b>0</b>	<b>30,500</b>
<b>Construction</b>	<b>0</b>	<b>14,334</b>	<b>0</b>	<b>2,142</b>	<b>0</b>	<b>16,476</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>4,350</b>	<b>0</b>	<b>650</b>	<b>0</b>	<b>5,000</b>
<b>Fee Accounts:</b>	<b>238</b>	<b>198,999</b>	<b>0</b>	<b>68,459</b>	<b>238</b>	<b>267,458</b>	<b>289</b>	<b>311,869</b>	<b>0</b>	<b>0</b>	<b>289</b>	<b>311,869</b>	<b>269</b>	<b>311,869</b>	<b>0</b>	<b>0</b>	<b>269</b>	<b>311,869</b>
Breached Bond Detention Fund	0	0	0	68,459	0	68,459	0	75,000	0	0	0	75,000	0	75,000	0	0	0	75,000
Student Exchange and Visitor Program	212	103,249	0	0	212	103,249	289	120,000	0	0	289	120,000	269	120,000	0	0	269	120,000
Immigration Inspection User Fees	26	95,750	0	0	26	95,750	0	116,869	0	0	0	116,869	0	116,869	0	0	0	116,869
<b>Total</b>	<b>17,287</b>	<b>4,972,271</b>	<b>2,629</b>	<b>778,260</b>	<b>19,916</b>	<b>5,750,531</b>	<b>18,040</b>	<b>5,140,877</b>	<b>2,231</b>	<b>721,576</b>	<b>20,271</b>	<b>5,862,453</b>	<b>18,001</b>	<b>4,950,877</b>	<b>2,264</b>	<b>693,184</b>	<b>20,265</b>	<b>5,644,061</b>

<sup>1</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$20 million, pursuant to P.L. 112-74.

<sup>2</sup> The Homeland/Non-Homeland allocation shown in OMB MAX is incorrect. The display on the above table is the correct allocation.



### iii. Status of Congressionally Requested Studies, Reports, and Evaluations

#### Department of Homeland Security U.S. Immigrations and Customs Enforcement

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2009	2/1/2010	House Report 111-157, Title II p. 55	Alternatives to Detention Cost/Benefit Analysis- ICE is directed to develop a benefit-cost analysis of its various Alternatives to Detention approaches, and include this information in the 2011 budget submission for the program.	Report is with DHS for clearance.
2011	7/1/2011	Conference Report 111-298, Title II, p.75; Senate Report 111-31, Title II p. 50; House Report 111-157, Title II p. 54	Second Semi-Annual Deportation of Parents of U.S.-Born Citizens FY11- Provide semiannual data to the Committees and the Office of Immigration Statistics on the deportation of parents of U.S.-born children; data should start being collected no later than July 1, 2010.	Report is within ICE for clearance.
2011	8/15/2011	Conference Report 111-298, Title II, p.74; Senate Report 111-31, Title II, p.51	DRO FY11 Q3- Continue to submit quarterly reports on detention and removal statistics, as discussed in the Senate report.	Report is with OMB for clearance.

2011	11/1/2011	House Report 111-157, Title II p. 53	Medical Care for ICE Detainees FY11 Q4- Report within 30 days of the end of each quarter of the fiscal year on actions taken to address inadequacies in the medical services to detainees.	Report is with DHS for clearance.
2011	11/15/2011	Conference Report 111-298, Title II, p.74; Senate Report 111-31, Title II, p.51	DRO FY11 Q4- Continue to submit quarterly reports on detention and removal statistics, as discussed in the Senate report.	Report is with DHS for clearance.
2011	11/15/2011	Conference Report 111-298, Title II, p.72-73 House Report 111-157, Title II p. 50	Secure Communities FY11 Q4- Within 45 days of the close of each quarter of the fiscal year, submit a report to the Committees on progress to make sure all aliens who have been convicted of crimes and ordered removed from the United States are indeed deported to their country of origin.	Report is with DHS for clearance.
2012	1/1/2012	Senate Report 112-74 p. 58	First Semi-Annual Deportation of Parents of U.S. Born Children Report FY12 - The Committee directs ICE to continue to submit the report on collection of data on deportation of parents of U.S.-born children, as mandated in the joint explanatory statement accompanying Public Law 111-83, to the Senate Committee on Appropriations and the Committee on the Judiciary.	Report is within ICE for clearance.

2012	2/13/2012	House Report 112-91 p.56	TECS Modernization Investment and Management Plan - the bill includes a requirement for a multi-year investment and management plan to be provided at the time of the President's budget submission and updated on an annual basis to fully justify requested funds for this activity and other activities under this account, as well as project future-year requirements and funding levels.	Report is within ICE for clearance.
2012	11/15/2012	Conference Report 2055, p. 0565 Senate Report 112-74 p. 56	Worksite Enforcement Annual Report - SENATE LANGUAGE: The Committee directs ICE to provide an annual report on the number of worksite enforcement investigations opened and closed, employee and employer arrests—both criminal and administrative, and the fines assessed and collected each fiscal year. This report shall be submitted to the Committee within 45 days after the end of each fiscal year. The Committee also directs that the report for fiscal year 2011 should include the same statistics for fiscal years 2007–2010. CONFERENCE LANGUAGE: Further, ICE shall provide an annual report on worksite enforcement activities as directed in the Senate report.	Report is within ICE for clearance.



2012	2/13/2012	House Report 112-91 p.51	Textile Transshipment Report - The committee directs ICE to provide a report with its fiscal year 2013 budget request on its actual and projected obligations of this funding, covering fiscal years 2007 to 2012. The report should include staffing level by fiscal year since 2007 and a five year enforcement plan for transshipment violations.	Report is within ICE for clearance.
2012	2/13/2012	Conference Report 2055 p. 0562 House Report 112-91 p. 51 Senate Report 112-74 p. 53	AD/CVD and National IPR Coordination Center Three Year Enforcement Improvement Plan - SENATE LANGUAGE: The Committee also directs ICE to submit by February 13, 2012, a 3-year strategy to improve AD/CVD enforcement, per the Senate report, and the information required on the National IPR Coordination Center in the House report. HOUSE LANGUAGE: ICE is directed to report to the Committee on the budget for the National IPR Coordination Center for fiscal year 2012, the number of Agents in the U.S. and abroad dedicated to IPR investigations, and the number of hours spent by Agents in fiscal year 2011 on IPR investigations.	Report is within ICE for clearance.



2012	2/15/2012	Conference Report 2055 p. 0562 House Report 112-91 p.50	Investigative Activities and Expenditures Report FY12 Q1 - HOUSE LANGUAGE: The Committee directs ICE to continue to provide quarterly data on investigative activities and expenditures on a timely basis. CONFERENCE LANGUAGE: ICE is directed to continue to provide quarterly data on investigative activities and expenditures on a timely basis.	Report is within ICE for clearance.
2012	2/15/2012	Conference Report 2055 p. 0564 House Report 112-91 p.55-56 H.R. 2055 P. 0564	Staffing and Hiring Report FY12 Q1 - HOUSE LANGUAGE: The Committee directs ICE to begin submitting monthly staffing and hiring reports, as well as quarterly briefings on its hiring progress. Further, the Committee is concerned that the target staffing levels should be lower than authorized full-time equivalent levels. CONFERENCE LANGUAGE: ICE shall submit quarterly staffing and hiring reports. Further, as directed in the House report, ICE shall brief the Committees on appropriate staffing levels.	Report is within ICE for clearance.

2012	2/15/2012	Conference Report 2055 p.0564 Senate Report 112-74 p. 60	DRO Quarterly Report FY12 Q1 - SENATE LANGUAGE: The Committee continues to request ICE to submit a quarterly report to the Committee which compares the number of deportation, exclusion, and removal orders sought and obtained by ICE. Currently, the report is broken down: by district in which the removal order was issued; by type of order (deportation, exclusion, removal, expedited removal, and others); by agency issuing the order; by the number of cases in each category in which ICE has successfully removed the alien; and by the number of cases in each category in which ICE has not removed the alien. The Committee welcomes suggestions from ICE on ways to provide more appropriate data in this report and urges ICE to provide suggestions to the Committee on revisions to the details of this report by November 1, 2011. The first fiscal year 2012 quarterly report is to be submitted no later than January 15, 2013.	Report is within ICE for clearance.
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2012	2/15/2012	Senate Report 112-74 p. 58	Detention Process Improvement and Reform Report - The Committee directs ICE to submit a report not later than December 1, 2011, detailing the specific steps it has taken since submission of the October 6, 2009, Immigration Detention Overview and Recommendations report to improve and reform the detention process and meet the goals outlined in that report, as well as what steps have been taken to rectify the issues identified in OIG-11-62.	Report is within ICE for clearance.
2012	2/15/2012	House Report 112-91 p.56	Unobligated Balances Report FY12 Q1 - The Committee directs ICE to report to the Committees on Appropriations quarterly on the results of its own quarterly reviews of obligations in carryover accounts that should be de-obligated through its validation and verification process.	Report is within ICE for clearance.
2012	2/15/2012	Conference Report 2055 p. 0564 House Report 112-91 p.53-54 Senate Report 112-74 p. 60	Secure Communities Quarterly Report FY12 Q1 - CONFERENCE LANGUAGE: ICE is directed to continue quarterly reports on the Secure Communities program, submit those reports within 45 days of the close of the quarter, and provide briefings within 45 days of the close of the quarter.	Report is within ICE for clearance.



2012	3/22/2012	Senate Report 112-74 p. 53	Commercial Fraud Investigators Expenditure Plan - The Committee directs ICE to consider whether additional commercial fraud investigators in the field offices would be a helpful resource addition to address the AD/CVD problem. The Committee directs ICE to submit a plan for expenditure of these additional, targeted resources within 90 days after the date of enactment of this act.	Report is within ICE for clearance.
2012	4/21/2012	Senate Report 112-74 p. 54	Visa Overstay Strategy Report with US-VISIT - Directs ICE to coordinate with US-VISIT and develop a comprehensive strategy to address the visa overstay problem. The strategy should consider the suggestions offered by the GAO and should be submitted not later than 120 days after the date of enactment of this act.	Report is within ICE for clearance.
2012	5/15/2012	Conference Report 2055 p.0564 Senate Report 112-74 p. 60	DRO Quarterly Report FY12 Q2 - SENATE LANGUAGE: The Committee continues to request ICE to submit a quarterly report to the Committee which compares the number of deportation, exclusion, and removal orders sought and obtained by ICE. Currently, the report is broken down: by district in which the	Report is within ICE for clearance.

			<p>removal order was issued; by type of order (deportation, exclusion, removal, expedited removal, and others); by agency issuing the order; by the number of cases in each category in which ICE has successfully removed the alien; and by the number of cases in each category in which ICE has not removed the alien. The Committee welcomes suggestions from ICE on ways to provide more appropriate data in this report and urges ICE to provide suggestions to the Committee on revisions to the details of this report by November 1, 2011. The first fiscal year 2012 quarterly report is to be submitted no later than January 15, 2013.</p>	
2012	5/15/2012	<p>Conference Report 2055 p. 0562 House Report 112-91 p.50</p>	<p>Investigative Activities and Expenditures Report FY12 Q2 - HOUSE LANGUAGE: The Committee directs ICE to continue to provide quarterly data on investigative activities and expenditures on a timely basis.</p>	<p>Report is within ICE for clearance.</p>
2012	5/15/2012	<p>Conference Report 2055 p. 0564 House Report 112-91 p.55-56 H.R. 2055 P. 0564</p>	<p>Staffing and Hiring Report FY12 Q2 - HOUSE LANGUAGE: The Committee directs ICE to begin submitting monthly staffing and hiring reports, as well as quarterly briefings on its hiring progress.</p>	<p>Report is within ICE for clearance.</p>

			Further, the Committee is concerned that the target staffing levels should be lower than authorized full-time equivalent levels.	
2012	5/15/2012	House Report 112-91 p.56	Unobligated Balances Report FY12 Q2 - The Committee directs ICE to report to the Committees on Appropriations quarterly on the results of its own quarterly reviews of obligations in carryover accounts that should be de-obligated through its validation and verification process.	Report is within ICE for clearance.
2012	5/15/2012	Conference Report 2055 p. 0564 House Report 112-91 p.53-54 Senate Report 112-74 p. 60	Secure Communities Quarterly Report FY12 Q2 - CONFERENCE LANGUAGE: ICE is directed to continue quarterly reports on the Secure Communities program, submit those reports within 45 days of the close of the quarter, and provide briefings within 45 days of the close of the quarter.	Report is within ICE for clearance.
2012	8/15/2012	Conference Report 2055 p. 0562 House Report 112-91 p.50	Investigative Activities and Expenditures Report FY12 Q3 - HOUSE LANGUAGE: The Committee directs ICE to continue to provide quarterly data on investigative activities and expenditures on a timely basis. CONFERENCE LANGUAGE: ICE is	Report is within ICE for clearance.



			directed to continue to provide quarterly data on investigative activities and expenditures on a timely basis.	
2012	8/15/2012	Conference Report 2055 p. 0564 House Report 112-91 p.55-56 H.R. 2055 P. 0564	Staffing and Hiring Report FY12 Q3 - HOUSE LANGUAGE: The Committee directs ICE to begin submitting monthly staffing and hiring reports, as well as quarterly briefings on its hiring progress. Further, the Committee is concerned that the target staffing levels should be lower than authorized full-time equivalent levels. CONFERENCE LANGUAGE: ICE shall submit quarterly staffing and hiring reports. Further, as directed in the House report, ICE shall brief the Committees on appropriate staffing levels.	Report is within ICE for clearance.
2012	8/15/2012	House Report 112-91 p.56	Unobligated Balances Report FY12 Q3 - The Committee directs ICE to report to the Committees on Appropriations quarterly on the results of its own quarterly reviews of obligations in carryover accounts that should be de-obligated through its validation and verification process.	Report is within ICE for clearance.

2012	7/1/2012	Senate Report 112-74 p. 58	Second Semi-Annual Deportation of Parents of U.S. Born Children Report FY12 - The Committee directs ICE to continue to submit the report on collection of data on deportation of parents of U.S.-born children, as mandated in the joint explanatory statement accompanying Public Law 111-83, to the Senate Committee on Appropriations and the Committee on the Judiciary.	Report is within ICE for clearance.
2012	8/15/2012	Conference Report 2055 p.0564 Senate Report 112-74 p. 60	DRO Quarterly Report FY12 Q3 - SENATE LANGUAGE: The Committee continues to request ICE to submit a quarterly report to the Committee which compares the number of deportation, exclusion, and removal orders sought and obtained by ICE. Currently, the report is broken down: by district in which the removal order was issued; by type of order (deportation, exclusion, removal, expedited removal, and others); by agency issuing the order; by the number of cases in each category in which ICE has successfully removed the alien; and by the number of cases in each category in which ICE has not removed the alien. The Committee welcomes suggestions from ICE on ways to provide more	Report is within ICE for clearance.



			appropriate data in this report and urges ICE to provide suggestions to the Committee on revisions to the details of this report by November 1, 2011. The first fiscal year 2012 quarterly report is to be submitted no later than January 15, 2013.	
2012	8/15/2012	Conference Report 2055 p. 0564 House Report 112-91 p.53-54 Senate Report 112-74 p. 60	Secure Communities Quarterly Report FY12 Q3 -CONFERENCE LANGUAGE: ICE is directed to continue quarterly reports on the Secure Communities program, submit those reports within 45 days of the close of the quarter, and provide briefings within 45 days of the close of the quarter.	Report will be crafted after the quarter closes.
2012	11/15/2012	Conference Report 2055 p.0564 Senate Report 112-74 p. 60	DRO Quarterly Report FY12 Q4 - SENATE LANGUAGE: The Committee continues to request ICE to submit a quarterly report to the Committee which compares the number of deportation, exclusion, and removal orders sought and obtained by ICE. Currently, the report is broken down: by district in which the removal order was issued; by type of order (deportation, exclusion, removal, expedited removal, and others); by agency issuing the order; by the number of cases in each category in which ICE	Report is within ICE for clearance.

			<p>has successfully removed the alien; and by the number of cases in each category in which ICE has not removed the alien. The Committee welcomes suggestions from ICE on ways to provide more appropriate data in this report and urges ICE to provide suggestions to the Committee on revisions to the details of this report by November 1, 2011. The first fiscal year 2012 quarterly report is to be submitted no later than January 15, 2013.</p>	
2012	11/15/2012	<p>Conference Report 2055 p. 0562 House Report 112-91 p.50</p>	<p>Investigative Activities and Expenditures Report FY12 Q4 - HOUSE LANGUAGE: The Committee directs ICE to continue to provide quarterly data on investigative activities and expenditures on a timely basis. CONFERENCE LANGUAGE: ICE is directed to continue to provide quarterly data on investigative activities and expenditures on a timely basis.</p>	Report is within ICE for clearance.
2012	11/15/2012	<p>Conference Report 2055 p. 0564 House Report 112-91 p.55-56 H.R. 2055 P. 0564</p>	<p>Staffing and Hiring Report FY12 Q4- HOUSE LANGUAGE: The Committee directs ICE to begin submitting monthly staffing and hiring reports, as well as quarterly briefings on its hiring progress. Further, the Committee is concerned that</p>	Report is within ICE for clearance.

			the target staffing levels should be lower than authorized full-time equivalent levels. CONFERENCE LANGUAGE: ICE shall submit quarterly staffing and hiring reports. Further, as directed in the House report, ICE shall brief the Committees on appropriate staffing levels.	
2012	11/15/2012	House Report 112-91 p.56	Unobligated Balances Report FY12 Q4 - The Committee directs ICE to report to the Committees on Appropriations quarterly on the results of its own quarterly reviews of obligations in carryover accounts that should be de-obligated through its validation and verification process.	Report is within ICE for clearance.
2012	11/15/2012	Conference Report 2055 p. 0564 House Report 112-91 p.53-54 Senate Report 112-74 p. 60	Secure Communities Quarterly Report FY12 Q4 -CONFERENCE LANGUAGE: ICE is directed to continue quarterly reports on the Secure Communities program, submit those reports within 45 days of the close of the quarter, and provide briefings within 45 days of the close of the quarter.	Report is within ICE for clearance.



## iv. Schedule of Authorized and Unauthorized Appropriations

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
 Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity  
 (Dollars in Thousands)

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Request
	Fiscal Year	Amount	Amount	Amount
<b>Salaries and Expenses</b>	2003 <sup>1</sup> /2004 <sup>3</sup>	N/A <sup>1</sup> / \$1,399,592.4 <sup>3</sup>	\$3,032,094 <sup>2</sup> ; N/A <sup>4</sup>	\$5,296,692
Personnel Compensation and Benefits, Service, and Other Costs	2003 <sup>1</sup> /2004 <sup>3</sup>	N/A <sup>1</sup> / \$1,399,592.4 <sup>3</sup>	\$3,032,094 <sup>2</sup> ; N/A <sup>4</sup>	220,122
Headquarters Managed IT Investment	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	157,188
Legal Proceedings	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	207,580
Domestic Investigations	2003 <sup>1</sup> /2004 <sup>3</sup>	N/A	N/A <sup>5</sup>	1,672,526
International Investigations	2003 <sup>1</sup> /2004 <sup>3</sup>	N/A	N/A <sup>5</sup>	110,370
Visa Security Program	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	32,616
Intelligence	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	78,748
ERO - Custody Operations	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	1,959,363
ERO - Fugitive Operations	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	132,925
ERO - Criminal Alien Program	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	216,724
ERO - Alternatives to Detention	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	111,590
ERO - Transportation and Removal Program	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	258,227
Comprehensive Identification and Removal of Criminal Aliens	2003 <sup>1</sup>	N/A	N/A <sup>5</sup>	138,713
<b>Automation Modernization</b>	2003 <sup>1</sup>	N/A	\$380,000	\$30,500
<b>Construction</b>	2003 <sup>1</sup>	N/A	\$258,637 <sup>1</sup>	\$5,000
<b>Total Direct Authorization/Appropriation</b>	N/A	\$0	\$3,412,094	\$5,332,192
<b>Fee Accounts</b>				
- Student Exchange Visitor Program				120,000
- Breached Bond				75,000
- User Fee				116,869

Note:

<sup>1</sup> Immigration and Naturalization Service--inspection, investigations, Border Patrol, detention and deportation only (8 U.S.C. 1101, note; Immigration and Nationality Act, section 404(a)).

<sup>2</sup> Includes \$2,862,094,000 from the FY 2003 INS Salaries and Expenses appropriations, and \$170,000,000 included in the FY 2003 Wartime Supplemental Appropriations Act, PL 108-11.

<sup>3</sup> Customs Service, including the investigations function (19 U.S.C. 2075(b)(1)).

<sup>4</sup> No 2004 appropriation for the U.S. Customs Service.

<sup>5</sup> PPA did not exist in the 2003 INS Appropriations.

# Department of Homeland Security

## *U.S. Immigration and Customs Enforcement Salaries and Expenses*

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Fiscal Year 2013  
Congressional Submission

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Immigration and Customs Enforcement Salaries and Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and Expenses:**

Programs funded through the Salaries and Expenses account contribute to the ICE mission of bringing a unified and coordinated focus to the enforcement of federal immigration and customs laws. Salaries and Expenses resources are used to combat terrorism, protect our Nation's borders, deter illegal immigration, and protect our cyber border. ICE accomplishes these missions by investigating, detaining, and prosecuting criminals and aliens who pose a risk to national security and public safety. These activities protect the infrastructure and persons within the United States.

#### **B. Budget Activities:**

##### **Management and Administration**

Management and Administration provides a range of mission and operational support for ICE. M&A oversees ICE's budget, expenditures, accounting, finance, and procurement. M&A is responsible for all human resources services, workforce recruitment, equal employment opportunity, and training for all employees and special agents. M&A oversees all information technology systems, facilities, and property and equipment, as well as the National Firearms and Tactical Training Unit, which ensures that ICE, Customs and Border Protection, and the Federal Protective Service have the necessary firearm, protective equipment and training to complete their jobs. In addition, M&A identifies and tracks the agency's performance measurements to ensure that strategic priorities, missions, and goals are met.

##### **Legal Proceedings**

The Office of the Principal Legal Advisor (OPLA) provides the legal advice, training, and services required to support the ICE mission. As the legal representative for the United States Government at immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for administrative relief. Additionally, OPLA provides legal advice in customs-related enforcement actions, represents the Government in Merit System Protection Board and Equal Employment Opportunity hearings, provides ethics advice, and handles matters involving commercial and administrative law.

##### **Domestic Investigations**

The ICE Office of Domestic Investigations (OI), as part of Homeland Security Investigations (HSI), enforces trade and immigration laws through the investigation of activities, persons, and events that may pose a threat to the safety or security of the United States and its people. OI also

investigates illegal trafficking in weapons (including weapons of mass destruction), the smuggling of narcotics and other contraband, human smuggling and trafficking, money laundering and other financial crimes, fraudulent trade practices, identity and benefit fraud, child pornography, child sex tourism, and health and public safety dangers.

### **International Affairs**

The ICE Office of International Affairs (OIA), as part of HSI, represents DHS's largest investigative law enforcement presence abroad and helps protect the Nation beyond its borders. ICE OIA has the broadest international footprint in DHS with 69 offices in 47 countries. Through OIA, ICE works with foreign counterparts to identify and combat criminal organizations before they can adversely impact the United States. ICE's international mission is to protect the United States through international criminal investigations; to prevent acts of terrorism by targeting the people, money, and materials that support terrorist and criminal activities; and to identify and eliminate vulnerabilities in the Nation's border, economy, transportation networks, and infrastructure security systems.

### **Intelligence**

The Office of Intelligence (Intel), as part of HSI, collects, analyzes, and distributes information on critical homeland security vulnerabilities that could be exploited by terrorist and criminal organizations. Intel utilizes data and information on the movement of people, money, and materials into, within, and out of the United States to provide accurate and timely reporting to ICE leadership and field agents. Intel's Field Intelligence Groups (FIGs) are the agency's primary vehicle for intelligence analysis in support of field operations and enforcement. FIGs link headquarters and field components to facilitate intelligence collection, integration, analysis, and dissemination.

### **Enforcement and Removal Operations**

Enforcement and Removal Operations (ERO) is responsible for ensuring that every alien who has been ordered removed departs the United States through enforcement of the Nation's immigration laws and coordination with foreign governments to ensure countries will accept removable aliens. ERO is comprised of five Program/Project Activities:

**Custody Operations Program** – This program provides safe, secure, and humane detention of removable aliens who are held in government custody because they present a risk of flight, a risk to public safety, or are subject to mandatory detention. ICE carefully monitors which aliens are detained to ensure its limited detention space is used to best support border security and public safety.

**Fugitive Operations Program** – This program locates and apprehends fugitive aliens in the United States. ICE strives to identify and apprehend all fugitives, with an emphasis on those aliens posing the greatest risk to public safety. This creates a deterrent to potential absconders and promotes the integrity of the immigration process.



**Criminal Alien Program** – This program identifies criminal aliens incarcerated within federal, state, and local correctional facilities. To ensure that these criminal aliens are removed rather than released into the community, ICE strives to secure a final order of removal prior to the termination of their sentences. Upon completion of their criminal sentences, aliens are transferred into ICE custody to be removed from the United States.

**Alternatives to Detention Program** – This program places low-risk aliens under various forms of intensive supervision or electronic monitoring rather than in jail-like detention. These systems can be a cost-effective way to ensure individuals’ appearance for immigration hearings and for removal. This program also lowers the risk that aliens ordered removed will become fugitives.

**Transportation and Removal Program** – This program provides for the safe and secure transportation of aliens in ICE custody and the removal of aliens from the United States.

**Secure Communities / Comprehensive Identification and Removal of Criminal Aliens (SC/CIRCA)**

Secure Communities/Comprehensive Identification and Removal Criminal Aliens (SC/CIRCA) is a comprehensive plan to improve community safety by transforming the way the federal government cooperates with state and local law enforcement agencies to identify, detain, and remove criminal aliens held in custody and at large. SC/CIRCA is working to revolutionize immigration enforcement by using technology to share information between law enforcement agencies and by applying risk-based methodologies to focus resources on assisting local communities in the removal of those criminal aliens representing the greatest threat to community safety. By the end of FY2013 SC/CIRCA will be deployed nationwide.

**C. Budget Request Summary:**

U.S. Immigration and Customs Enforcement (ICE) requests 21,758 positions, 19,996 FTE, and \$5,296,692,000 in FY 2013 for the Salaries and Expenses (S&E) appropriation. In order to accomplish the agency’s objectives and mission, ICE requests \$5,359,844,000 and 19,985 FTE to maintain current services, and (\$63,152,000) and 11 FTE in program changes for the S&E account appropriation.

The request includes a reduction of \$68.3 million representing cost savings attributed to an Enterprise Wide Efficiency initiative to reduce overall administrative expenses. It is a reduction to areas such as vehicle fleet, PCS costs, TDY and travel, professional service contracts, and overtime. The request also includes \$170.1 million of other administrative reductions, including the attrition of mission support FTE.

***Program Change Requests***

ICE requests program changes for the Salaries and Expenses appropriation in the following key areas:

- **Alternatives to Detention Expansion.....\$39.9M (35 FTE)**

These funds will expand program participation, while working with the Executive Office for Immigration Review (EOIR) on a new approach to prioritize aliens on ATD. This expansion is correlated with the reduction in the planned level of funded detention beds.

- **Co-Location of ICE Facilities – A City Solution**  
**Approach.....\$6.2M (0 FTE)**  
 This request funds the fourth year of the ICE-wide co-location strategy to consolidate ICE personnel and operations scattered across multiple buildings in select metropolitan areas with the intended result of improved operational efficiency and long-term cost savings.
- **Video Tele-Conferencing Expansion.....\$7.0M (0 FTE)**  
 These funds will expand video tele-conferencing services to 83 new locations, including detention facilities and Executive Office of Immigration Review offices and courtrooms, in FY 2013.
- **Transfer of US-VISIT.....\$17.6M (78 FTE)**  
 This request would transfer the overstay analysis functions of the US-VISIT program from the National Protections and Programs Directorate (NPPD) to ICE.
- **Realignment and Reduction of 287(g).....(\$17.0)M (-24 FTE)**  
 This request would reduce the budget for the 287(g) program by 25 percent by leveraging Secure Communities interoperability deployment.. The Secure Communities screening process is more consistent, efficient and cost effective in identifying and removing criminal and other priority aliens. To implement this reduction in 2013, ICE will begin by discontinuing the least productive 287(g) task force agreements in those jurisdictions where Secure Communities is already in place and will also suspend consideration of any requests for new 287(g) task forces.
- **OPLA Reduction.....(\$5.0M) (0 FTE)**  
 This reduction includes reducing contracts, utilizing courtroom wiring in lieu of air cards, utilizing video teleconferencing, and reducing non-corporate training in the Office of Legal Proceedings.
- **Reduction in Detention Beds to 32,800.....(\$53.4)M (0 FTE)**  
 This reduction would reduce ICE’s detention bed level from 34,000 to 32,800 beds in FY 2013 at an average bed rate of \$122.00 per day. This reduction is proposed in conjunction with the Alternatives to Detention expansion request
- **Secure Communities Reduction.....(\$40.8M) (0 FTE)**  
 This reduction eliminates funding previously required for the large-scale deployment of Secure Communities interoperability because only eleven percent deployment remains in FY 2013. The Secure Communities interoperability system will be deployed nationwide by the end of FY 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Immigration and Customs Enforcement Salaries and Expenses

#### Summary of FY 2013 Budget Estimates by Program Project Activity

#### FY 2013 Requested Budget Authority (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority <sup>1</sup>			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Personnel Compensation and Benefits, Service, and Other Costs	1,476	1,589	291,035	1,827	1,731	233,251	1,820	1,716	220,122	(7)	(15)	(13,129)	(7)	(7)	(2,800)	-	(8)	(10,329)
Headquarters Managed IT Investment	244	353	205,598	348	356	184,227	348	350	157,188	-	(6)	(27,039)	-	-	4,505	-	(6)	(31,544)
Legal Proceedings	1,213	1,297	221,040	1,272	1,447	215,935	1,270	1,437	207,580	(2)	(10)	(8,355)	(2)	(2)	(5,335)	-	(8)	(3,020)
Domestic Investigations	8,980	8,364	1,690,331	8,671	8,194	1,725,234	8,741	8,203	1,672,526	70	9	(52,708)	(8)	(8)	(20,602)	78	17	(32,106)
International Investigations	199	290	112,426	320	281	114,928	320	278	110,370	-	(3)	(4,558)	-	-	-	-	(3)	(4,558)
Visa Security Program	67	60	28,216	80	62	33,889	80	64	32,616	-	2	(1,273)	-	-	-	-	2	(1,273)
Intelligence	442	386	69,434	453	386	81,503	453	383	78,748	-	(3)	(2,755)	-	-	-	-	(3)	(2,755)
ERO - Custody Operations	5,190	4,732	1,798,618	5,203	4,585	2,050,545	5,196	4,506	1,959,363	(7)	(79)	(91,182)	(7)	(7)	(38,029)	-	(72)	(53,153)
ERO - Fugitive Operations	655	699	233,000	788	700	154,597	788	695	132,925	-	(5)	(21,672)	-	-	-	-	(5)	(21,672)
ERO - Criminal Alien Program	942	1,143	195,077	1,627	1,376	196,696	1,627	1,369	216,724	-	(7)	20,028	-	-	-	-	(7)	20,028
ERO - Alternatives to Detention	182	176	71,832	204	186	72,373	274	219	111,590	70	33	39,217	70	35	39,903	-	(2)	(686)
ERO - Transportation and Removal Program	-	-	276,628	59	59	276,632	59	49	258,227	-	(10)	(18,405)	-	-	-	-	(10)	(18,405)
Comprehensive Identification and Removal of Criminal Aliens	552	553	199,600	782	619	189,064	782	727	138,713	-	108	(50,351)	-	-	(40,794)	-	108	(9,557)
<b>Total, Salaries and Expenses</b>	<b>20,142</b>	<b>19,642</b>	<b>5,392,835</b>	<b>21,634</b>	<b>19,982</b>	<b>5,528,874</b>	<b>21,758</b>	<b>19,996</b>	<b>5,296,692</b>	<b>124</b>	<b>14</b>	<b>(232,182)</b>	<b>46</b>	<b>11</b>	<b>(63,152)</b>	<b>78</b>	<b>3</b>	<b>(169,030)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>20,142</b>	<b>19,642</b>	<b>5,392,835</b>	<b>21,634</b>	<b>19,982</b>	<b>5,528,874</b>	<b>21,758</b>	<b>19,996</b>	<b>5,296,692</b>	<b>124</b>	<b>14</b>	<b>(232,182)</b>	<b>46</b>	<b>11</b>	<b>(63,152)</b>	<b>78</b>	<b>3</b>	<b>(169,030)</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>20,142</b>	<b>19,642</b>	<b>5,392,835</b>	<b>21,634</b>	<b>19,982</b>	<b>5,528,874</b>	<b>21,758</b>	<b>19,996</b>	<b>5,296,692</b>	<b>124</b>	<b>14</b>	<b>(232,182)</b>	<b>46</b>	<b>11</b>	<b>(63,152)</b>	<b>78</b>	<b>3</b>	<b>(169,030)</b>

<sup>1</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$10 million, pursuant to P.L. 112-74.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Personnel Compensation and Benefits, Service, and Other Costs**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Personnel Compensation and Benefits, Service, and Other Costs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,476</b>	<b>1,589</b>	<b>291,035</b>
<b>2012 Enacted Budget Authority</b>	<b>1,827</b>	<b>1,731</b>	<b>233,251</b>
2013 Adjustments-to-Base	-	(8)	(10,329)
<b>2013 Current Services</b>	<b>1,827</b>	<b>1,723</b>	<b>222,922</b>
2013 Program Change	(7)	(7)	(2,800)
<b>2013 Total Requested Budget Authority</b>	<b>1,820</b>	<b>1,716</b>	<b>220,122</b>
Total Change 2012 to 2013	(7)	(15)	(13,129)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$220.1 million, 1,820 positions, and 1,716 FTE for the five offices that comprise the Personnel, Compensation and Benefits PPA to provide management and administrative support, such as finance, human resources, and procurement, to the ICE operational programs. This is a net \$13.1 million decrease from the FY 2012 enacted amount. The net \$10.3 million Adjustments to Base decrease includes changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies. The \$2.8 million programmatic change decrease includes changes for Co-Location and adjustments to properly adjust funding for the 287(g) program. All of these changes are described in more detail in the programmatic change section.

**HSR Alignment**

**6.3 Conduct and Support Other Law Enforcement Activities**

**ICE Strategic Plan Alignment**

**4.4 Use Resources Wisely**

**Justification**

*Salaries (\$150.8 million)*

The ICE M&A offices will have a staffing level of 1,716 FTE in FY 2013.

*Expenses (\$69.3 million)*

In FY 2013, \$6.2 million in enhancement funding will be spent on the co-location of ICE facilities through a city solution approach to consolidate leases around the country.

## **Description**

Management and Administration provides a range of mission and operational support for ICE. M&A oversees ICE's budget, expenditures, accounting, finance, and procurement. M&A is responsible for all human resources services, recruitment, equal employment opportunity, and training for all employees and special agents. All information technology systems, facilities, and property and equipment are overseen by M&A as well as the National Firearms and Tactical Training Unit, which ensures that ICE, Customs and Border Protection, and the Federal Protective Service have the necessary firearm, protective equipment and training to complete their jobs. In addition, M&A identifies and tracks the agency's performance measurements to ensure that strategic priorities, missions, and goals are met.

The Office of the Assistant Secretary (OAS) – directs the overall advancement of the agency's objectives outlined in the ICE strategic plan. This includes both operational and management support to meet day-to-day organizational needs, as well as long-term agency goals. The operational support areas provide leadership and coordination of all of ICE's operational components, address operational challenges, and support ICE's continued growth and development as a

*ICE's average processing time for FOIA requests is 17 business days.*

premier law enforcement agency. The management support areas provide coordination of all

*The ICE Instructor Development Course is now accredited by the Federal Law Enforcement Training Accreditation (FLETA) Board.*

administrative and managerial components of ICE. Offices that report directly to the OAS are responsible for human capital, Congressional relations, public affairs, policy, diversity and civil rights, training and development, Freedom of Information Act (FOIA) activities, privacy, and the National Firearms and Tactical Training Unit.

The Office of Professional Responsibility (OPR) – investigates allegations of misconduct involving employees of ICE and U.S. Customs and Border Protection (CBP). OPR conducts independent inspections and reviews of ICE offices, operations, and processes in order to provide executive management with an independent review of the agency's organizational health, effectiveness, and efficiency. OPR ensures that all ICE applicants are properly screened prior to entering on duty. OPR also manages the Security Management Unit providing physical, communication and operational security for ICE employees and facilities. In addition, the OPR Office of Detention Oversight (ODO), investigates all allegations of detainee abuse and/or detainee deaths referred by DHS, the Office of Civil Rights and Civil Liberties (CRCL), and the Joint Intake Center.

*ICE completes 90 percent of initial integrity investigations within 40 days and 90 percent of adjudications within 20 days.*

The Office of the Chief Financial Officer (OCFO) – manages ICE's financial and physical resources, promotes integrity and accountability, delivers financial management services, provides facilities and property management services, and manages the development, execution and monitoring of budgets.

Included in its work is an effort to deliver best-in-class customer service and the co-location initiative to consolidate 351 leases in 55 U.S. metropolitan areas to support operational effectiveness.

*ICE's managerial cost account model is one tool to help quantify the unit costs for key ICE operations.*

The ICE OCFO maintains a funds control policy and budget execution handbook for all ICE programs and continues to advance the accuracy and sophistication of its managerial cost accounting model, which is compliant with

FASAB standards.

The Office of Acquisition Management (OAQ) – is a customer-focused organization with an enterprise-wide, strategic approach to procurement. OAQ operates as a full business partner with internal and external organizations and is dedicated to improving the agency's overall business performance.

The Office of State, Local, and Tribal Coordination (OSLTC) partners with non-federal U.S. law enforcement agencies to enforce immigration and customs law and protect our communities. OSLTC builds awareness and understanding of partner services offered under ICE Agreements of Cooperation in Communities to Enhance Safety and Security (ACCESS).

### **FY 2013 Planned Activities**

In FY 2013, M&A will coordinate staff re-locations in support of the Rotational Instructor Program at the ICE Academy locations in Georgia, South Carolina and Texas to ensure that agents with recent exposure to the field are available to train Law Enforcement Officers. ICE/OPR will conduct reviews of the 287(g) program and support an investigations unit to review complaints and allegations against 287(g) agencies and offices. Using enhancement funding included in this request, ICE/OCFO will proceed with the co-location of ICE facilities by implementing city specific solutions in Phoenix. ICE will also continue ongoing efforts to find efficiencies in the delivery of mission support services to ICE.

The Management and Administration (M&A) offices will reduce non-mission critical spending by \$10.4 million through administrative, vehicle fleet, PCS, TDY, and professional service contract efficiencies.

### **Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>233,251</b>
<b>Adjustments-to-Base</b>	<b>(10,329)</b>
<i>GSA Rent</i>	<i>875</i>
<i>FY 2013 Pay Increase</i>	<i>878</i>
<i>Enterprise Wide Efficiencies</i>	<i>(4,330)</i>
<i>Administrative Savings</i>	<i>(6,113)</i>
<i>Attrition of Mission Support FTE</i>	<i>(1,639)</i>

<b>Program Changes</b>	(2,800)
<i>Co-Location of ICE Facilities - A City Solution Approach</i>	6,163
<i>Realignment and Reduction of 287(g)</i>	(8,963)
<b>FY 2013 Request</b>	<b>220,122</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
Headquarters Managed IT Investment  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Headquarters Managed IT Investment**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>244</b>	<b>353</b>	<b>205,598</b>
<b>2012 Enacted Budget Authority</b>	<b>348</b>	<b>356</b>	<b>184,227</b>
2013 Adjustments-to-Base	-	(6)	(31,544)
<b>2013 Current Services</b>	<b>348</b>	<b>350</b>	<b>152,683</b>
2013 Program Change	-	-	4,505
<b>2013 Total Requested Budget Authority</b>	<b>348</b>	<b>350</b>	<b>157,188</b>
Total Change 2012 to 2013	-	(6)	(27,039)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$157.2 million, 348 positions, and 350 FTE for the ICE Office of the Chief Information Officer (OCIO) Headquarters Managed Information Technology Investment (HQIT) program to provide IT infrastructure and support to over 20,000 ICE personnel. This is a net \$27 million decrease from the FY 2012 enacted amount. The net \$31.5 million Adjustments to Base decrease includes changes for pay inflation, GSA rent, reduced IT infrastructure support, attrition of mission support FTE, and administrative efficiencies. The FY 2013 HQIT budget request also includes an increase of \$4.5 million as part of the re-alignment and reduction of the 287(g) program. This change is described in more detail in the programmatic change section.

**QHSR Alignment**

**3.2 Prevent Unlawful Immigration**

**ICE Strategic Plan Alignment**

**3.1 Detaining and Removing Aliens Seeking Illegal Entry**

**Justification**

*Salaries (\$56.1 million)*

OCIO will have a staffing level of 350 FTE in FY 2013.

*Expenses (\$101.1 million)*



OCIO will spend \$94.5 million to develop new IT solutions, purchase equipment, and provide maintenance and oversight to the existing IT infrastructure.

## **Description**

OCIO provides IT services and products that contribute to the achievement of ICE's mission. OCIO has developed a number of critical IT initiatives that will help ICE modernize its IT systems, adapt and conform to modern IT management disciplines, and provide IT solutions throughout ICE. Specifically, OCIO handles the operation and maintenance, as well as other back-end support functions, for Automation Modernization initiatives. OCIO is also responsible for the regular IT refresh of computers, file and print servers, local area networks, cables, and switches. OCIO works to ensure that the IT enterprise architecture is in place to provide ICE with full IT capabilities including disaster recovery, cyber security, IT operations, IT systems development, and engineering. OCIO also provides the delivery of IT equipment to state and local law enforcement while they are participating in the 287(g) program.

## **FY 2013 Planned Activities**

In FY 2013, OCIO will focus on addressing four IT Infrastructure areas: IT Refresh, IT Deployment and Implementation, IT Security and Monitoring, and IT Migration.

### **IT Refresh**

OCIO will begin implementing a Virtual Desktop infrastructure by upgrading outdated legacy clients. This will include refreshing 7,500 desktops and/or laptops with modern client devices capable of running today's software including MS Windows 7 and Office 2010. In addition, OCIO will close several security vulnerabilities within the ICE enterprise and provide site access to streaming media to 200 ICE sites for training and other purposes. OCIO will refresh the ICE TV system in order provide this site access.

### **IT Deployment and Implementation**

OCIO will seek to achieve Full Operating Capability (FOC) for the Federal Desktop Core Configuration. Achieving FOC will increase the security of a user's desktop and bring ICE into compliance with federal information technology standards. In addition, OCIO will develop and implement an Electronic Serial Number Voice Network for the National Capital Region (NCR). This network will help ICE establish a centralized management solution for voice functions including provisioning, operations and maintenance, and fault and performance monitoring.

### **IT Security and Monitoring**

OCIO will begin enabling device and port control on 25,000 end points while simultaneously providing anti-virus and end-point security for all desktops and servers. This will better secure data on mobile storage devices by only allowing ICE-approved, encrypted thumb drives to be connected to ICE desktops and laptops. OCIO will also provide end-point security and patching compliance monitoring on 1,000 Immigration Health Services Corps (IHSC) systems by installing BigFix and McAfee software on those IHSC workstations and servers. Finally, OCIO will implement a Creation of

Trust relationship with other DHS components in the realm of Application Authentication. This will allow for increased information sharing and partnering among DHS components.

### IT Migration

OCIO will work to complete the migration of all ICE workstation infrastructure to MS Windows 7 with Federal Desktop Configuration Controls. Doing so will bring ICE into compliance with federal information technology standards and increase security of each user’s desktop. In addition, OCIO will migrate 85 percent of ICE to an enhanced OneNet. This enhanced OneNet will provide faster application connectivity for users and will optimize the ICE-wide area network so that it can conform to modern networking standards. OCIO will also migrate 250 ICE sites to the new OneNet Optimization Design, which will enable users to experience faster connections to applications located in the DHS datacenters. Finally, OCIO will migrate all user mailboxes to the DHS data center, upgrade all ICE BlackBerry operating systems, and migrate 20,000 user workstations to MS Windows 7.

### Budget Change FY 2012 – FY 2013

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>184,227</b>
<b>Adjustments-to-Base</b>	(31,544)
<i>GSA Rent</i>	340
<i>FY 2013 Pay Increase</i>	129
<i>IT Infrastructure Reduction</i>	(29,400)
<i>Administrative Savings</i>	(1,318)
<i>Attrition of Mission Support FTE</i>	(1,295)
<b>Program Changes</b>	4,505
<i>Realignment and Reduction of 287(g)</i>	4,505
<b>FY 2013 Request</b>	<b>157,188</b>

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Legal Proceedings**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Legal Proceedings**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,213</b>	<b>1,297</b>	<b>221,040</b>
<b>2012 Enacted Budget Authority</b>	<b>1,272</b>	<b>1,447</b>	<b>215,935</b>
2013 Adjustments-to-Base	-	(8)	(3,020)
<b>2013 Current Services</b>	<b>1,272</b>	<b>1,439</b>	<b>212,915</b>
2013 Program Change	(2)	(2)	(5,335)
<b>2013 Total Requested Budget Authority</b>	<b>1,270</b>	<b>1,437</b>	<b>207,580</b>
Total Change 2012 to 2013	(2)	(10)	(8,355)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$207.6 million, 1,270 positions, and 1,437 FTE for the Office of the Principal Legal Advisor (OPLA). It is the largest legal program in DHS and the exclusive legal representative for the U.S. government in exclusion, deportation and removal proceedings before the Department of Justice’s Executive Office of Immigration Review (EOIR). The FY 2013 budget request is an \$8.4 million decrease from the FY 2012 enacted amount. The net \$3 million Adjustments to Base decrease includes changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative reductions. The \$5.3 million program decrease is due to utilizing video teleconferencing with clients to reduce operational travel costs, capitalizing on docket efficiencies with the EOIR, and adjustments to properly adjust funding for the 287(g) program. These changes are described in more detail in the programmatic change section.

**QHSR Alignment**

*3.1 Strengthen and Effectively Administer the Immigration System*

**ICE Strategic Plan Alignment**

*3.4 Protect the Integrity of the Immigration System*

**Justification**

*Salaries (\$163.3 million)*

The FY 2013 budget request will support 966 attorneys to litigate and process immigration and customs cases generated by Homeland Security Investigations (HSI) and Enforcement and Removal

Operations (ERO). Attorneys also provide administrative and legal counsel.

*Expenses (\$44.3 million)*

In FY 2013 OPLA will fund operational support and services, including the release of a new case management system to improve litigation management.

## **Description**

The ICE Office of the Principal Legal Advisor (OPLA) provides legal advice, training and services in cases related to the ICE mission. OPLA attorneys handle immigration-related hearings that involve criminal aliens, terrorists and human rights abusers, as well as provide critical legal support to ICE components focusing on customs, worksite enforcement, ethics, employment law, tort claims and administrative issues.

OPLA's work is pivotal to ICE operations through two of its main components: the Homeland Security Investigations Law Division (HSILD) and the Enforcement and Removal Operations Law Division (EROLD). HSILD handles national security matters and works closely with other law-enforcement and intelligence agencies to provide immigration-related legal advice on national security, human rights and criminal issues. EROLD provides legal advice and training to ERO officers and agents, and litigation support and legal guidance on ERO matters including detainee medical care.

ICE also employs 54 attorneys as Special Assistant U.S. Attorneys (SAUSAs). Through September 2011, ICE SAUSAs have reported a total of 4,287 convictions with over 92 percent of these convictions relating to improper entry, re-entry of removed aliens, bringing in and harboring aliens, and fraud (18 U.S.C. 1028, 8 U.S.C. 1324, 8 U.S.C. 1325, 8 U.S.C. 1326, and 18 U.S.C 1546).

## ***Major Divisions:***

Homeland Security Investigations Law Division (HSILD) - HSILD is composed of three sections that specialize in providing legal advice and training to HSI special agents, and litigation support and legal guidance on HSI matters to OPLA field offices:

National Security Law Section (NSLS) - NSLS provides legal advice, training and guidance in immigration cases involving national security matters and works closely with other law-enforcement and intelligence agencies to provide immigration-related advice.

Human Rights Law Section (HRLS) - HRLS coordinates ICE's litigation efforts with other intelligence agencies and non-governmental organizations to provide legal advice in the identification, investigation, prosecution and removal of individuals involved in human rights abuses, including genocide, extrajudicial killings, the recruitment or use of child soldiers and torture. HRLS currently has a caseload of over 1,500 cases involving individuals from 85 different countries.

Criminal Law Section (CLS) - CLS provides counsel on HSI legal issues, excluding denaturalization cases, Student and Exchange Visitor Program matters, and issues addressed by

either HRLS or NSLS. CLS directly supports the Cyber Crimes Center, National Intellectual Property Rights Coordination Center, Bulk Cash Smuggling Center, Counterterrorism and Criminal Exploitation Unit and Office of International Affairs.

Enforcement and Removal Operations Law Division (EROLD) – EROLD is composed of two sections that specialize in providing legal advice and training to ERO officers and agents, and litigation support and legal guidance on ERO matters to OPLA field offices. For special interest cases, EROLD also coordinates with OPLA field offices, headquarters ERO agents and HSI agents, and other U.S. government agencies to achieve the most-favorable resolution of a matter and to ensure consistency in the application of immigration laws nationwide.

Enforcement Law Section (ELS) - ELS provides legal advice and training to operational divisions, including the Criminal Alien Program, Secure Communities, the Juvenile and Family Residential Management Unit, the Fugitive Operations Unit, and the HSI Student Exchange and Visitor Program. Attorneys provide advice and legal counsel on significant immigration enforcement related issues including, but not limited to: requirements of the 4th Amendment, rapid repatriation of criminal aliens, 287(g) delegation of immigration authority, and the authorities related to the detention of families and/or unaccompanied alien children. ELS also manages the litigation of civil and/or criminal denaturalization cases to the Office of Immigration Litigation.

Detention and Removal Law Section (DRLS) - DRLS provides legal advice, counsel and training on issues including, but not limited to, detainee medical and mental health care, detention officer authorities, expedited removals, detainees, deferred actions, alternatives to detention, and continued detention under specialized authorities. DRLS also provides legal and procedural guidance to the Office of Detention Policy and Planning regarding liability and/or litigation risks that could impact detention reform initiatives and new policies.

Immigration Law & Practice Division (ILP) – ILP has four areas of responsibility: (1) providing immigration law advice and counsel to the Offices of the Chief Council (OCCs), ICE programs and leadership, the DHS Office of General Counsel (OGC), and other agencies; (2) providing specialized advice on sensitive issues related to refugee status, asylum, Temporary Protected Status, withholding of removal, the Convention Against Torture and helping to make asylum fraud prevention tools available to the OCCs; (3) overseeing OPLA’s advocacy before EOIR and its appellate caseload before the Board of Immigration Appeals (BIA); and (4) monitoring immigration-related federal circuit court and Supreme Court developments, and working with DOJ to address immigration cases on appeal to the circuit courts of appeals.

OPLA is also comprised of several other administrative and informational law divisions such as the District Court Litigation Division (DCLD), the Commercial and Administrative Law Division (CALD), the Government Information Law Division (GILD), the Labor and Employment Law Division (LELD), and the Ethics Office.

### **FY 2013 Planned Activities**

In FY 2013, OPLA will transition all OCCs into full-service legal operations. Under this concept, the

OCCs will be tasked with providing legal services on a broader range of topics to their local Enforcement and Removal Operations (ERO) and Homeland Security Investigation (HSI) clients. The implementation of this model will enhance the Chief Counsels' relationships with their SAC, FOD and their managerial staffs, and ensure that the OCC is fully engaged in, and current with, the legal issues, policies and procedures faced by HSI and ERO personnel in the execution of their duties.

Additionally, OPLA will complete deployment and achieve full operational capability of its new case management system. Finally, OPLA will continue to meet quarterly with representatives from the Executive Office for Immigration Review (EOIR) and U.S. Citizenship and Immigration Services (USCIS) to improve the coordination between agencies. These DHS-EOIR Docket Efficiency Working Group meetings will improve docket scheduling and create other efficiencies in immigration court with the goal of increasing the number of priority cases handled. In addition to creating greater efficiencies in court proceedings, the working group will improve the expeditious handling of cases involving alternate removal methods such as stipulated and reinstated orders of removal.

OPLA will reduce non-mission critical spending by \$3.5 million through administrative, vehicle fleet, PCS, TDY, and professional service contract efficiencies.

### Budget Change FY 2012 – FY 2013

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>215,935</b>
<b>Adjustments-to-Base</b>	(3,020)
<i>GSA Rent</i>	1,082
<i>FY 2013 Pay Increase</i>	874
<i>Enterprise Wide Efficiencies</i>	(1,141)
<i>Administrative Savings</i>	(2,317)
<i>Attrition of Mission Support FTE</i>	(1,518)
<b>Program Changes</b>	(5,335)
<i>Realignment and Reduction of 287(g)</i>	(335)
<i>OPLA Reduction</i>	(5,000)
<b>FY 2013 Request</b>	<b>207,580</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
Domestic Investigations  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Domestic Investigations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>8,980</b>	<b>8,364</b>	<b>1,690,331</b>
<b>2012 Enacted Budget Authority</b>	<b>8,671</b>	<b>8,194</b>	<b>1,725,234</b>
2013 Adjustments-to-Base	78	17	(32,106)
<b>2013 Current Services</b>	<b>8,749</b>	<b>8,211</b>	<b>1,693,128</b>
2013 Program Change	(8)	(8)	(20,602)
<b>2013 Total Requested Budget Authority</b>	<b>8,741</b>	<b>8,203</b>	<b>1,672,526</b>
Total Change 2012 to 2013	70	9	(52,708)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$1,672.5 million, 8,741 positions, and 8,203 FTE for Domestic Investigations to support the DHS mission of disrupting and dismantling transnational criminal organizations. This is a \$52.7 million decrease from the FY 2012 enacted amount. The net \$32.1 million Adjustment to Base decrease includes changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies. The net \$20.6 million programmatic change decrease includes changes for the transfer of visa overstay analysis functions from US-VISIT to ICE and adjustments to properly adjust funding for the 287(g) program. These changes are described in more detail in the programmatic change section.

**Justification**

*Salaries (\$1,295.9 million)*

Domestic Investigations will maintain a staffing level of 8,203

**QHSR Alignment**

*2.3 Disrupt and Dismantle  
Transnational Criminal Organizations*

**ICE Strategic Plan Alignment**

**2.0**  
*Protect the Borders against Illicit Trade,  
Travel and Finance*

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**Associated GPRA Measures**  
*Percentage of significant high-risk  
transnational criminal investigations  
that result in a disruption or  
dismantlement*

*Dollar value of fines assessed for  
employers who have violated the I-9  
requirements*

FTE in FY 2013.

*Expenses (\$376.6 million)*

Domestic Investigations will spend \$376.6 million on general expenses to support ICE's mission. This includes contractual support for wiretap and surveillance services and the purchase of equipment to maintain field operations at 26 SAC offices nationwide.

**Description**

Domestic Investigations, as part of Homeland Security Investigations (HSI), identifies, disrupts, and dismantles transnational criminal organizations, and the illicit pathways they exploit, that pose a threat to the United States' national security, public safety, and border security. Types of crimes include: trade and commercial fraud; intellectual property crimes; immigration violations; human rights violations; human smuggling and trafficking; smuggling of narcotics; weapons and other types of contraband; financial crimes; cyber crimes; and export violations involving weapons, ammunition and sensitive technology. Domestic Investigations also investigate crimes impacting critical infrastructure and industries that are vulnerable to sabotage, attack or exploitation.

Domestic Investigations leads and partners in the investigative and enforcement efforts of many federal, state, local, tribal and foreign law enforcement organizations and agencies. Domestic Investigations also participates and leads multi-agency task-force and fusion center operations. This results in the greater sharing of law enforcement information across agencies and provides more efficient leads for HSI investigation. Additionally, partnering with other agencies, which have differing legal authorities, allows for more efficient and effective gathering of information and enforcement options.

Domestic Investigations has four investigative divisions:

**(1) National Security Investigations**

- The Counter Proliferation Investigations (CPI) Unit leads efforts to prevent foreign adversaries from illegally obtaining U.S. military products and sensitive technology, including weapons of mass destruction components. In FY 2011, ICE expanded counter-proliferation efforts to incorporate additional agency partners and increase the scope of targeting, interdiction, and investigation of the smuggling of weapons from the U.S. into Mexico.

See <http://www.ice.gov/news/library/factsheets/counter-proliferations.htm> for more information on the Counter

- The Counterterrorism and Criminal Exploitation Unit (CT-CEU) enforces the laws covering non-immigrant visa status. An estimated 100,000 non-immigrant aliens annually overstay or violate the terms of their authorized period of admission for economic, personal, and criminal reasons. The CT-CEU collects data and leads from the Student and Exchange Visitor Information System (SEVIS), and U.S. Visitor and Immigrant Status Indicator Technology (US-VISIT), tracks non-immigrant over-stay violations, initiates investigations to locate status violators or identify potential terrorists or other criminals, and enforces the relevant



immigration laws and statutes to identify disrupt, and dismantle terrorists and terrorist organizations attempting to exploit or harm our homeland or people.

- The Threat Analysis Section (TAS) is a specialized group of special agents and intelligence analysts who proactively identify persons of interest from within the non-immigrant community of visitors, students and temporary workers. TAS uses the latest computer technology to access immigration, law enforcement and intelligence information to identify hidden links and associations between persons and events that could indicate a previously unknown threat.
- The Human Rights Violator and War Crimes Unit oversees investigations involving torture, genocide, extrajudicial killings, recruitment of child soldiers, war crimes, extreme forms of religious persecution, and immigration and visa fraud where the underlying offense is based on substantive human rights abuses and war crimes. The unit attempts to deny safe haven in the United States to human rights violators.

## **(2) Financial Investigations**

In view of the significant role that financial assets and money laundering play in sustaining criminal organizations and their illicit activity, all domestic investigations include a financial component. One of the most effective methods of dismantling transnational criminal organizations is to attack the criminal proceeds that fund their operations. HSI's Domestic Investigations takes a holistic approach towards investigating money laundering, illicit finance, and financial crimes by looking at the ways individuals and criminal organizations earn, move, and store their illicit proceeds. Domestic Investigations uses this approach by targeting the illicit funds from criminal, corrupt, fraudulent and commercial sources. For transnational financial investigations, Domestic Investigations is uniquely positioned as the only investigative agency that has border search authority and exclusive access to commercial trade data.



Three unique efforts focus exclusively on financial issues:

- The Cornerstone initiative focuses on coordination and cooperation with domestic and foreign private sector entities to identify vulnerabilities in U.S. financial systems. This information exchange greatly helps ICE in its efforts to disrupt and dismantle alternative financing mechanisms, while at the same time assists the financial and trade sectors to strengthen their anti-money laundering detection and prevention systems.
- The Trade Transparency Unit (TTU) provides the analytical infrastructure to support international financial and trade investigations. TTU provides the capability to identify and analyze complex trade-based money laundering schemes where criminals use international trade to hide and move proceeds within legitimate trade transactions. Domestic Investigations works closely with foreign government law enforcement agencies to share investigative methods and techniques and foster cooperation in jointly analyzing foreign and domestic trade and financial data.

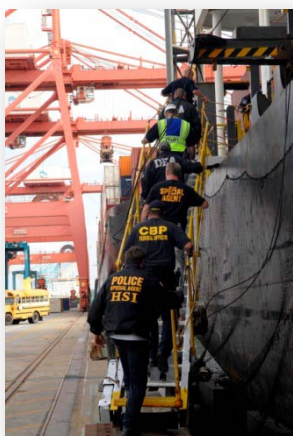
- ICE also leads the National Bulk Cash Smuggling Center (BCSC). The BCSC is an operational, intelligence driven investigative unit that targets bulk cash smuggling from both national and international perspectives. Bulk cash smuggling is one of the preferred methods used by all types of transnational criminal organizations to move their funds. The BCSC is focused on the disruption of facilitation pipelines used to move currency derived from illicit activity including drugs, weapons, human trafficking, foreign political corruption and contraband.

### (3) Transnational Crime and Public Safety Investigations

HSI's Domestic Investigations identifies, disrupts, interdicts, and dismantles criminal organizations involved in the unlawful movement of people and goods into and out of the country. These investigations are targeted at disrupting and dismantling activities of groups and individuals engaged in human, narcotics and contraband smuggling, human rights violations, exploitation of individuals, importation of hazardous and prohibited items, identity and benefit fraud, and worksite violations.

HSI's Domestic Investigations efforts cover a wide range of activities:

- Domestic Investigations targets child pornographers, child sex tourists, and facilitators of human smuggling and trafficking of minors, criminal aliens convicted of offenses against minors, and those deported for child exploitation offenses who have returned illegally.



- The Maritime Port Security Program aims to eliminate the threats posed by internal conspiracies and smuggling organizations by focusing investigative initiatives on the maritime port environment.

*ICE is the largest federal contributor to the Joint Terrorism Task Force (JTTF) program and has Special Agents assigned to all 104 JTTFs nationwide. Since 2007, ICE agents assigned to JTTFs have initiated 5,564 cases, resulting in approximately 1,119 criminal arrests and 2,010 administrative arrests.*

- Domestic Investigations targets transnational street gang members and disrupts and dismantles gang organizations that have violent criminal

*Since inception, BESTs have initiated more than 5,700 cases with more than 7,100 criminal arrests and 5,600 administrative arrests. ICE has seized more than 55,000 pounds of cocaine, 870 pounds of heroin, 593,000 pounds of marijuana, 3,700 pounds of ecstasy, and more than 3,200 pounds of methamphetamine. In addition, ICE has seized more than 5,900 weapons, 2,600,000 rounds of ammunition, 2,900 vehicles, and \$94.3 million in currency. See more at <http://www.ice.gov/best>.*

histories, with arrests and convictions for crimes such as murder, rape, robbery, assault and extortion. Using the enforcement of immigration laws hand-in-hand with enforcement by state, local and tribal agencies, Domestic Investigations disrupts gang activity and develops enterprise investigations aimed at dismantling the entire gang.

- Domestic Investigations leads ICE’s Border Enforcement Security Task Forces (BESTs). BESTs partner law enforcement agencies to combat illicit activities that fuel much of the violence on our borders. There are 23 regional BESTs active along our borders and in major ports of entry, including one in Mexico.
- The Commercial Fraud Unit and National Intellectual Property Rights Coordination Center (IPR Center) target predatory and unfair trade practices that threaten our economic stability, restrict the competitiveness of U.S. industry in world markets, and place the public health and safety of the American people at risk. ICE is the only federal agency that investigates predatory and unfair trade practices under Title 19 of the U.S. Code.

*The National Intellectual Property Rights Coordination Center (IPR Center) is one of the U.S. government's key weapons in the fight against criminal counterfeiting and piracy. The IPR Center uses the expertise of its 19 member agencies to share information, develop initiatives, coordinate enforcement actions, and conduct investigations related to IP theft. Through this strategic interagency partnership, the IPR Center protects the public's health and safety and the U.S. economy.*

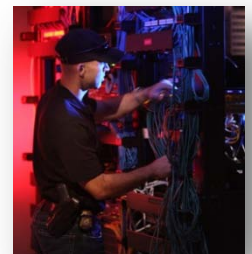
- Domestic Investigations targets identity and benefit fraud through 18 special task forces across the country. Identity fraud crimes enable terrorists and criminals to exploit the legitimate immigration process and obtain legal status in the United States. Benefit fraud is an extremely lucrative form of organized white-collar crime. It is complex and challenging to investigate and often involves sophisticated multi-layered schemes with multiple co-conspirators that take years to investigate and prosecute.

- Domestic Investigations’ worksite enforcement initiatives promote collaboration with the private sector to prevent criminals and terrorists from penetrating and harming the U.S. economy through employment in critical and sensitive areas. Investigations involving national security or public safety implications receive top priority, as do investigations involving allegations of egregious worker exploitation where the welfare of the employees may be at risk. Domestic Investigations applies criminal sanctions to employers who exploit workers and whose employment practices involve alien smuggling or fraud.
- Domestic Investigations conducts enforcement operations and Form I-9 inspections to identify non-compliance with Employment Eligibility Verification requirements and employers whose practice is to strategically and repeatedly hire unauthorized workers. Domestic Investigations conducts proactive outreach under the ICE Mutual Agreement between Government and Employers (IMAGE) program to foster compliance by employers and trade associations and to reduce unauthorized employment. IMAGE provides training on proper hiring procedures, fraudulent document detection, and use of E-Verify for employment eligibility verification.

#### **(4) Law Enforcement Information Management and Investigative Support**

Domestic Investigations includes many other investigations entities, including;

- The Cyber Crimes Center investigates and provides computer forensics support to investigations;



- The Undercover Operations Unit is responsible for providing guidance and oversight for all undercover activity;
- The Forensic Document Laboratory is the only federal crime laboratory specializing in the scientific authentication and research of travel and identity documents; and
- The Law Enforcement Parole Unit oversees temporary parole authority for aliens admitted to the United States to assist in criminal proceedings.

### **FY 2013 Planned Activities**

In FY 2013, HSI’s Domestic Investigations will increase its resources toward Commercial Trade Fraud investigations. Also, HSI will focus on the following as the top four priorities:

- Commercial Fraud Enhancement;
- Protect U.S. Citizens Through Enhanced Investigations into Products That Place the Health and Safety of the U.S. Consumers at Risk;
- Keep Counterfeit and Substandard Products Out of the Federal Government Supply Chain; and
- Continue to Attack Criminals Illegally Importing and Selling Fraudulent Consumer Goods.

Domestic Investigations will also continue to coordinate all export enforcement activities and will establish a Child Exploitation Investigations Center (CEIC) in FY 2012. The CEIC will be the central point of contact for all DHS programs dedicated to combating the sexual exploitation of children and will oversee the continued expansion of the “Operation Angel Watch” system, which identifies potential child predators who attempt to travel to countries known as destinations for child sex tourism. As part of the creation of the CEIC in FY 2012, ICE will work to develop a strategy and timetable for the nationwide expansion of the Operation Angel Watch system.

Also, in FY 2013, Domestic Investigations will expand and institutionalize the Extraterritorial Criminal Travel Strike Force initiative, as well as establish Trade Transparency Units in the Americas, Europe, Africa and Asia, which will enhance the original trade transparency concept from a bilateral to a multilateral approach. Domestic Investigations will also reinforce the use of “Knowingly Hire” and “Continue to Employ” laws against businesses that hire or continue to employ workers identified as unauthorized aliens and promote a culture of compliance through the expansion of IMAGE.

Domestic Investigations will reduce non-mission critical spending by \$55.6 million through administrative, vehicle fleet, PCS, TDY, and professional service contract efficiencies.

### **Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>1,725,234</b>
<b>Adjustments-to-Base</b>	(32,106)
<i>GSA Rent</i>	11,477
<i>FY 2013 Pay Increase</i>	6,576
<i>Enterprise Wide Efficiencies</i>	(21,140)

<i>Administrative Savings</i>	(34,502)
<i>Attrition of Mission Support FTE</i>	(12,127)
<i>Transfer of U.S. VISIT</i>	17,610
<b>Program Changes</b>	(20,602)
<i>Realignment and Reduction of 287(g)</i>	(20,602)
<b>FY 2013 Request</b>	<b>1,672,526</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
International Investigations  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: International Investigations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>199</b>	<b>290</b>	<b>112,426</b>
<b>2012 Enacted Budget Authority</b>	<b>320</b>	<b>281</b>	<b>114,928</b>
2013 Adjustments-to-Base	-	(3)	(4,558)
<b>2013 Current Services</b>	<b>320</b>	<b>278</b>	<b>110,370</b>
<b>2013 Total Requested Budget Authority</b>	<b>320</b>	<b>278</b>	<b>110,370</b>
Total Change 2012 to 2013	-	(3)	(4,558)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$110.4 million, 320 positions and 278 FTE to maintain current services for the Office of International Affairs (OIA), part of ICE's Homeland Security Investigations (HSI). This is a net Adjustment to Base decrease of \$4.6 million from the FY 2012 enacted amount. The Adjustments to Base include changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies.

**Justification**

*Salaries (\$59.7 million)*

In FY 2013, OIA will maintain a staffing level of 278 FTE, 222 of whom are posted abroad in 47 countries.

*Expenses (\$50.7 million)*

In FY 2013, OIA will fund general expenses to support ICE's international investigations and activities.

**QHSR Alignment**

**3.2 Prevent Unlawful Immigration**

**ICE Strategic Plan Alignment**

**1 Prevent Terrorism and Enhance Security**

**2 Protect the Borders Against Illicit Trade, Travel and Finance**  
**Target Drug Trafficking**

## Description

The ICE Office of International Affairs conducts proactive international investigations overseas involving individuals and organizations responsible for the illegal movement of people, goods, and technology. OIA works with foreign counterparts to identify and combat transnational criminal organizations before they can adversely impact the United States. Special agents investigate human trafficking, child sexual exploitation, counter-proliferation, illegal arms trafficking, smuggling and immigration violations, intellectual property rights violations, commercial fraud, money laundering, bulk cash smuggling, and drug trafficking.

*OIA is a key component of ICE's Illicit Pathways Attack Strategy (IPAS) to target, identify, and dismantle illicit networks and pathways utilized by transnational organized crime.*

OIA Attaché offices around the world conduct critical law enforcement operations and provide investigative support to domestic offices in combating transnational crime. They support other U.S. government components and initiatives, refer requests from host country law enforcement agencies to appropriate U.S. agencies, and serve as advisor to U.S. missions. OIA provides training and conducts outreach to foreign officials and coordinates with foreign counterparts to share information under negotiated bilateral agreements and mutual legal assistance treaties. OIA conducts and coordinates training for law enforcement officials through International Law Enforcement Academies (ILEAs). These offices are staffed by ICE agents, deportation liaison officers, and foreign service nationals who serve to enhance the investigative and administrative ability of our overseas offices with their bicultural and bilingual skills.

*The expansion of Project Global Shield into a World Customs Organization-endorsed program was spurred by ICE's facilitation of the arrest of 19 suspects and 23 seizures of more than 33 metric tons of explosive raw material sufficient to make thousands of improvised explosive devices.*

ICE coordinates the activities of Transnational Criminal Investigative Units (TCIUs) in collaboration with foreign investigative counterparts, to deter, disrupt and dismantle transnational criminal organizations and individuals perpetrating a wide range of crimes including: human trafficking and smuggling, child labor and sexual exploitation, illegal arms trafficking, alien smuggling, proliferation of sensitive technology, intellectual property rights violations, commercial fraud, money laundering, bulk cash smuggling, and narcotics trafficking.

*OIA has developed a vetted anti-gang unit comprised of Jamaican Constabulary Force officers that targets violent street gangs and increases intelligence on their members, associates, criminal activities and international movements.*

Through the use of dedicated Assistant Attachés for Removals (AARs) deployed at critical locations abroad, OIA coordinates the return of removable aliens with host governments and facilitates transits and country clearances.

In collaboration with ICE Enforcement and Removal Operations (ERO), AARs coordinate with host-country governments to return aliens who have final orders of removal. This coordination speeds up the removal process and reduces detention costs by reducing the number of detention days and daily bed expense incurred before removal. The Department of State (DOS) benefits from OIA support at U.S. embassies through assistance in sensitive removal discussions with receiving and transit countries. ICE and DOS engage with foreign governments to reinforce their commitment under international law to accept the return of their

citizens, even as the number of returned criminals increases. OIA works through problematic repatriation and removals by providing support for country clearances and then coordinating removals with the flight operations unit.

OIA also furthers law enforcement coordination through the development of international agreements. OIA coordinates international information sharing through the negotiation of Customs Mutual Assistance Agreements, mutual legal assistance treaties and other agreements as needed in cooperation with other U.S. agency partners. OIA works with DOS and ERO to negotiate and maintain removal agreements with foreign countries, and serves as a primary point of contact for all repatriation issues.

*Operation Firewall is a bilateral joint task force between Attaché Mexico City special agents and the Government of Mexico to combat cross-border illicit currency flow and has led to Mexican and Venezuelan seizures and arrests.*

OIA is pursuing collaborative international strategies to:

- Establish and strengthen information sharing with receiving countries to provide ample lead time to prepare a re-orientation;
- Identify third-party international and non-governmental organizations to help in the transition of criminal aliens returning to their country of origin through ICE Attachés;
- Participate in multilateral forums with partner countries to discuss alien removal issues (e.g., Four Country Conference, Regional Conference on Migration, Shared Border Accord Coordinating Committee, and others);
- Provide additional training for ICE representatives overseas to increase the number of subject matter experts to deal with complex removal issues worldwide; and
- Expand the use of the Electronic Travel Document (eTD) system to reduce travel document issuance times, thereby reducing the average length of stay and bed costs.

### **FY 2013 Planned Activities**

In the future OIA will continue to explore methods to improve efficiency by reviewing current processes and procedures as well as identifying the potential for labor-saving data system modifications. OIA will focus on solidifying new Transnational Criminal Investigative Units (TCIUs) in Africa and Asia, and continuing the implementation of a TCIU management program at headquarters to guide Attaché offices in forming and managing their TCIUs.

*Transnational Criminal Investigative Units are special host country police units that assist ICE with investigations in source and transit countries. TCIUs identify targets, gather evidence, share investigative intelligence, and facilitate the prosecution of individuals involved in transnational organized crime through joint investigative activities. By working in partnership with TCIUs, ICE can target the entire criminal network, not just the portion operating in the United States.*

OIA will expand the IPAS concept beyond human smuggling and trafficking, to include illicit finance and counter proliferation. Also creating an IPAS Intelligence Unit to enhance intelligence and information sharing across agencies and with key international partners, and to protect financial systems and strategic markets by addressing how criminal organizations earn, move and store illicit proceeds.



OIA’s investigative resources at the Southwest Border will continue growing to address violence along the U.S./Mexico border and focus on cross-border threats in the region, including contraband smuggling, money laundering and bulk cash smuggling, human smuggling and trafficking, transnational criminal gangs, and clandestine tunnels.

OIA will reduce non-mission critical spending by \$4.4 million through vehicle fleet, PCS, TDY, professional service contract, and other administrative efficiencies. TDY savings will be gained as supplemental agent positions are deployed to the Southwest Border, reducing the number of TDY assignments required in Mexico and Central America.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>114,928</b>
<b>Adjustments-to-Base</b>	(4,558)
<i>GSA Rent</i>	133
<i>FY 2013 Pay Increase</i>	248
<i>Enterprise Wide Efficiencies</i>	(3,471)
<i>Administrative Savings</i>	(952)
<i>Attrition of Mission Support FTE</i>	(516)
<b>FY 2013 Request</b>	<b>110,370</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
Visa Security Program  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Visa Security Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>67</b>	<b>60</b>	<b>28,216</b>
<b>2012 Enacted Budget Authority</b>	<b>80</b>	<b>62</b>	<b>33,889</b>
2013 Adjustments-to-Base	-	2	(1,273)
<b>2013 Current Services</b>	<b>80</b>	<b>64</b>	<b>32,616</b>
<b>2013 Total Requested Budget Authority</b>	<b>80</b>	<b>64</b>	<b>32,616</b>
Total Change 2012 to 2013	-	2	(1,273)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$32.6 million, 80 positions, and 64 FTE to support current services for the Visa Security Program (VSP). This includes a net Adjustment to Base decrease of \$1.3 million from the FY 2012 enacted amount. The Adjustments to Base include changes for annualization of prior year funding, termination of one-time costs, pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies.

**Justification**

*Salaries (\$16.9 million)*

In FY 2013, VSP will maintain a staffing level of 64 FTE. This includes seven special agent positions enacted in FY 2012 for two new posts.

*Expenses (\$15.7 million)*

In FY 2013, VSP will spend \$15.7 million on general expenses to support ICE's Visa Security Program at headquarters and 21 overseas posts; this includes two new posts.

**QHSR Alignment**

**3.2**  
*Prevent Unlawful  
Immigration*

**ICE Strategic Plan  
Alignment**

**1.1**  
*Prevent Terrorist  
Entry into the United  
States*

## Description

The Visa Security Program represents ICE's front line in protecting the United States against terrorist and criminal organizations. VSP enhances the security of the visa issuance process at high-risk



overseas posts by deploying trained special agents to identify and investigate potential terrorist and criminal threats before they reach the United States and interdict those who would exploit the legal visa process.

VSP special agents currently work closely with the Department of State (DOS) and take a hands-on approach in conducting visa security activities at 19 overseas posts in 15 countries. These activities include, but are not limited to, examining visa applications for fraud, initiating investigations, coordinating with

law enforcement partners, and providing law enforcement training and advice to U.S. consular officials.

Many visa security screening activities involve face to face interaction and on the ground follow up which can only be conducted in the field. ICE agents follow up on investigative leads by coordinating

*An increase in VSP performance can be attributed to ICE's ongoing efforts to clarify and standardize VSP operations. In support of this effort, ICE and DOS established a Memorandum of Understanding defining the roles, responsibilities, and collaboration of VSP agents and DOS personnel in daily operations. As VSP posts align operations with this guidance, performance will continue to improve.*

with foreign government law enforcement to verify a visa applicant's true country of origin, discover past criminal arrests or convictions, identify potential affiliations with terrorist or criminal organizations, confirm derogatory information identified in data screening, substantiate recommendations to deny visas to high risk individuals, as well as to "clear" eligible applicants incorrectly associated with derogatory information.

VSP identifies known and not-yet known terrorist or criminal threats by conducting targeted, in-depth vetting of individuals who apply for visas overseas. The Security Advisory Opinion Unit (SAOU) is a part of VSP dedicated to participating in the interagency checks of visa applicants conducted through the SAOU process. The SAOU checks DHS-held derogatory information on visa applicants and provides liaison and operational de-confliction with other participating agencies. The VSP and SAOU foster coordinated decision-making across DHS and DOS to utilize law enforcement expertise and analysis to maximize the enforcement benefit to the visa process.

ICE's presence overseas is vital to prevent criminals or terrorists from traveling to the United States. ICE maintains interactive relationships with foreign law enforcement counterparts to combat and disrupt the efforts of transnational criminal organizations before they adversely affect the United States. ICE agents interview applicants on site to review identity and application documents for authenticity.

*In addition to determining whether a given applicant is eligible for a visa, vetting by ICE special agents generates additional law enforcement value, including:*

- *Creation of watch-list records;*
- *Identification of new terrorist tactics or fraud schemes;*
- *Generation of intelligence products;*
- *Revocation of fraudulent petitions; and*
- *Initiation of investigations leading to arrest, seizure, prosecution*

ICE coordinates VSP post deployments with DOS but the exact deployment schedule is dependent on DOS approval and other factors such as, scheduling site visits to plan and coordinate facilities build out of communications, securing government housing or DOS-approved leased housing, procuring and deploying armored vehicles and other specialized equipment, recruiting and staffing ICE positions including foreign nationals, coordinating specialized training, identifying educational requirements for dependents of ICE agents, and scheduling PCS deployment of staff and families from the U.S. VSP posts become fully operational when all staff are deployed overseas.

**FY 2013 Planned Activities**

VSP will continue to exploit IT solutions to increase ICE’s efficiency in screening, vetting, and recording of visa applications. ICE aims to have the capability to screen all visa applications and identify patterns and potential national security threats in process through technology and by leveraging the capabilities of our law enforcement and intelligence community partners.

The VSP will reduce non-mission critical spending by \$1.5 million through administrative, vehicular fleet, PCS, TDY, and professional service contract efficiencies.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>33,889</b>
<b>Adjustments-to-Base</b>	(1,273)
<i>GSA Rent</i>	30
<i>FY 2013 Pay Increase</i>	55
<i>Annualization of PY Funding</i>	1,200
<i>Termination of One-Time Costs</i>	(800)
<i>Enterprise Wide Efficiencies</i>	(870)
<i>Administrative Savings</i>	(650)
<i>Attrition of Mission Support FTE</i>	(238)
<b>FY 2013 Request</b>	<b>32,616</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
Intelligence  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Intelligence**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>442</b>	<b>386</b>	<b>69,434</b>
<b>2012 Enacted Budget Authority</b>	<b>453</b>	<b>386</b>	<b>81,503</b>
2013 Adjustments-to-Base	-	(3)	(2,755)
<b>2013 Current Services</b>	<b>453</b>	<b>383</b>	<b>78,748</b>
<b>2013 Total Requested Budget Authority</b>	<b>453</b>	<b>383</b>	<b>78,748</b>
Total Change 2012 to 2013	-	(3)	(2,755)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$78.7 million, 453 positions, and 383 FTE to support current services for the Office of Intelligence. This includes a net Adjustment to Base decrease of \$2.8 million from the FY 2012 enacted amount. The Adjustments to Base include changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies.

**QHSR Alignment**

**1.1 Prevent Terrorists Attacks**

**ICE Strategic Plan Alignment**

**1.2 Remove Individuals Posing a Security Threat**

**Justification**

*Salaries (\$66.5 million)*

The Office of Intelligence will have a staffing level of 383 FTE.

*Expenses (\$12.2 million)*

In FY 2013, the Office of Intelligence will fund general expenses to support intelligence activities and lead ICE emergency preparedness and response efforts.

## Description

The Office of Intelligence within Homeland Security Investigations (HSI) develops, processes, analyzes, and disseminates relevant information and intelligence needed to support executive management and investigative units. Information is gathered to identify threats, patterns, trends, methods, and organizations related to transnational crimes. This information supports law enforcement efforts and investigations across ICE, DHS and many levels of government.

The primary tool used by the Office of Intelligence to collect information and conduct analysis is the Intelligence Fusion System (IFS). IFS is a comprehensive analytical and investigative tool to access and analyze large volumes of data from sources such as the Enforcement Apprehension Booking Module (EABM), US-VISIT Automated Biometric Identification System (IDENT), portions of Tracking Enforcement Case System (TECS), Student Exchange Visitor Information System (SEVIS), Intelligence Reporting System (IRS), Significant Event Notification (SEN) system, and digitized content obtained from Intelligence Document Exploitation (IDocX). The IFS database includes indexed names, subject records, and investigative and intelligence reports, as well as global intelligence information on topics that include smuggling, terrorism and transnational trends.

The Office of Intelligence responds to needs based on formal and ad hoc requests by investigative units and other intelligence users within ICE, elsewhere within DHS and from the intelligence and law enforcement communities, in support of the following programmatic areas:

- Southwest Border, where the Office of Intelligence provides a wide spectrum of intelligence support to enforcement entities on the Southwest Border, including state, tribal, local, and other federal law enforcement and Intelligence Community (IC) partners. These efforts support ICE's surge in law enforcement personnel and activity to deal with increased Southwest Border violence and are managed by the Southwest Border Intelligence Coordination Section of the Office of Intelligence;
- Human Smuggling and Public Safety, focusing on human smuggling, trafficking in persons, immigration benefit fraud, mass migration, and threats to public safety emanating from transnational street gangs and other criminal aliens;
- Contraband Smuggling, where the Office of Intelligence provides intelligence to assist in the disruption of activities related to the international trafficking of narcotics and other prohibited goods;
- Illicit Finance and Trade Fraud, involving illicit movements of money or financial instruments, and other commerce-related crime issues such as international trade violations, protection of intellectual property rights, and public health threats that cross our borders; and



*The Office of Intelligence is a key tool in ICE's successful investigations of threats such as transnational gangs, Southwest Border violence, and all types of smuggling.*

- Counter-Proliferation Intelligence, focusing on the identification and disruption of individuals and organizations involved in the unauthorized movement and procurement of critical technology, dual-use goods, chemical, biological, radiological, nuclear/conventional weapons, and unauthorized U.S. exports to prohibited countries.

The Office of Intelligence performs its mission through the following functional areas:

- Intelligence Operations Division sets standards for, and coordinates, intelligence activities throughout the Office of Intelligence enterprise including intelligence personnel assigned to the 26 SAC Intelligence Groups supporting Special Agent in Charge offices, the Special Collections Section, and the Southwest Border Intelligence Coordination Section;
- Analysis and Targeting Division provides analytic support at the strategic, operational and tactical level to ICE national programs, ICE Homeland Security Investigations attachés operating overseas, and IC and law enforcement partners operating nationwide;
- Collections and Requirements Division coordinates the intelligence collection and reporting efforts within ICE, and is responsible for the management and oversight of the Joint Intelligence Operations Center (JIOC), and provides ICE with classified connectivity and secure communications support through the Intelligence Technology Section;
- The National Emergency Management Division guides agency responses to emergencies and possible catastrophic events by recommending policy, promoting training, and sponsoring exercises. NEMD promotes information sharing within ICE and enables rapid response to intelligence-based threat warnings; and
- Human Smuggling and Trafficking Center (HSTC) achieves greater integration and overall effectiveness in the U.S. government's enforcement and other response efforts, and works with other nations to address the related issues of alien smuggling, trafficking in persons and clandestine terrorist travel.

*To support the Illicit Pathways Attack Strategy (IPAS) on Western Hemisphere human smuggling, ICE has created an IPAS Intelligence Unit within the HSTC to enhance intelligence and information sharing across agencies and with key international partners. The unit supports investigations focused on high risk transnational criminal networks and pathways used by smuggling and trafficking organizations. See <http://www.ice.gov/ipas/> for more information.*

## **FY 2013 Planned Activities**

In FY 2013, the Office of Intelligence will support the increase in focus by Domestic Investigations on Commercial Trade Fraud investigations. The Office will also support the Administration's strategy to combat Transnational Criminal Organizations at the Human Smuggling and Trafficking Center. The Office will focus on enhancing analytic techniques, dissemination capabilities, product quality, and training provided to ICE intelligence analysts. Finally, other key activities will include developing and satisfying strategic, operational, and tactical collection strategies aimed at gathering intelligence that satisfies national requirements, maintaining global situational awareness to receive, coordinate, and disseminate classified and unclassified information, and facilitate the exchange of law enforcement and national intelligence, and participating in any National Level Exercise for emergency preparedness.

The Office of Intelligence will reduce non-mission critical spending by \$2.8 million through administrative, vehicle fleet, PCS, TDY, and professional service contract efficiencies.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>81,503</b>
<b>Adjustments-to-Base</b>	<b>(2,755)</b>
<i>GSA Rent</i>	<i>293</i>
<i>FY 2013 Pay Increase</i>	<i>296</i>
<i>Enterprise Wide Efficiencies</i>	<i>(1,218)</i>
<i>Administrative Savings</i>	<i>(1,553)</i>
<i>Attrition of Mission Support FTE</i>	<i>(573)</i>
<b>FY 2013 Request</b>	<b>78,748</b>



**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**ERO - Custody Operations**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: ERO - Custody Operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>5,190</b>	<b>4,732</b>	<b>1,798,618</b>
<b>2012 Enacted Budget Authority</b>	<b>5,203</b>	<b>4,585</b>	<b>2,050,545</b>
2013 Adjustments-to-Base	-	(72)	(53,153)
<b>2013 Current Services</b>	<b>5,203</b>	<b>4,513</b>	<b>1,997,392</b>
2013 Program Change	(7)	(7)	(38,029)
<b>2013 Total Requested Budget Authority</b>	<b>5,196</b>	<b>4,506</b>	<b>1,959,363</b>
Total Change 2012 to 2013	(7)	(79)	(91,182)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$1.959 billion, 5,196 positions, and 4,506 FTE for the Custody Operations program within Enforcement and Removal Operations (ERO) to fund 32,800 detention beds and related operations. This is a \$91.2 million decrease from the FY 2012 enacted amount.

Funding includes a \$53.2 million Adjustment to Base decrease and a net \$38 million programmatic change decrease. The \$53.2 million Adjustment to Base net decrease includes changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies. The \$38 million programmatic change decrease includes changes for decreased detention bed funding, video tele-conferencing expansion, and technical adjustments to properly adjust funding for the 287(g) program to align with ERO's management of the program. All of these changes are described in more detail in the programmatic change section.

## Justification

*Salaries (\$622 million)*

Custody Operations will have a staffing level of 4,506 FTE in FY 2013.

*Expenses (\$1,337 million)*

In FY 2013, ICE will maintain 32,800 detention beds at a rate of \$122.00/day and an average length of stay (ALOS) of 35 days for criminal aliens. 30,083 beds are funded through the Custody Operations PPA and 2,717 beds are paid for from fee sources (Breached Bond Detention Fund and Immigration Inspection User Fees).

## Description

The ERO provides policy guidance for and oversight of the administrative custody of a highly diverse alien detainee population. ERO manages these detention operations as efficiently and effectively as possible to provide for the safety, security, and appropriate care of aliens in its custody.

### (1) Bed Space Management

- **Inter-Governmental Service Agreements (IGSAs).** ICE obtains detention bed space through inter-governmental service agreements with state and local detention facilities and through an agreement with the Federal Bureau of Prisons for the Federal Detention Center in Oakdale, Louisiana, and at several smaller locations. Approximately 70 percent of ICE's detained population are housed at IGSA facilities with an average daily population of 23,380. There are approximately 220 IGSAs in 50 states at an average bed rate of \$115.19 per day. ICE has no assurance of bed space at the IGSAs; bed space availability is generally based on state and local county populations and, as their local populations fluctuate, so do the beds available for ICE.

- **Service Processing Centers (SPCs).** ICE owns and operates six secure detention facilities, called Service Processing Centers, located in Batavia, New York; El Centro, California; El Paso, Texas; Florence, Arizona; Miami, Florida; and Los Fresnos, Texas. The SPCs are dedicated facilities housing roughly 12 percent of the detained population with an average daily population of 4,008. Using SPCs provides ICE with complete control over who is accepted into

### QHSR Alignment

**3.2 Prevent Unlawful Immigration**

### ICE Strategic Plan Alignment

**3.1 Detaining and Removing Aliens Seeking Illegal Entry**

### Associated HPPG Measures

*Average length of stay in detention of all convicted criminal illegal immigrants prior to removal from the United States.*

*Estimated average bed cost per day.*

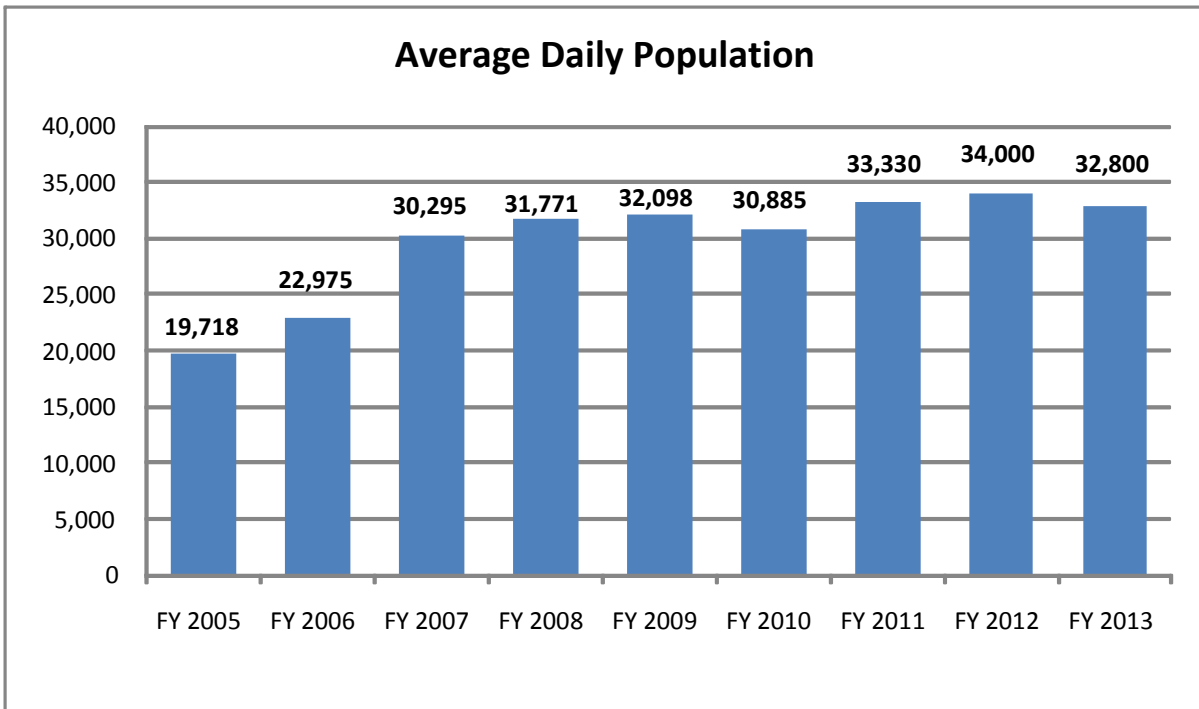
### Associated GPRA Measures

*Percent of detention facilities found in compliance with the national detention standards by receiving an inspection rating of acceptable or greater on the last inspection.*

*In FY 2011, due to localized detention needs exceeding existing capacity and in an effort to consolidate detention services and improve conditions for detainees, ICE acquired additional IGSA space in key areas such as Los Angeles, Miami, New York/Newark, San Antonio, and San Francisco.*

the facility and bed space availability is not dependent on a third party. Notwithstanding this, SPCs on average are more expensive – the average bed rate is \$117.27 per day - than other detention alternatives. There are many factors in the costs – SPCs serve additional functions beyond just detention such as office space and courtroom space. ICE undertook a study of SPCs to look at all factors and is now planning to reduce the use of some of them. The El Paso SPC is currently being converted to office space and ICE field offices may co-locate with the El Centro SPC. Both changes are expected to yield cost avoidance. The remaining SPCs, with the exception of Batavia in New York, are being reviewed to see if appropriate replacement facilities are available. ERO is developing Statements of Objectives (SOOs) that would commence the procurement process. Previously, ICE discontinued use of Aguadilla, Varick, and San Pedro which led to a considerable cost savings.

- Contract Detention Facilities (CDFs).** ICE utilizes seven contract detention facilities to house approximately 16 percent of ICE’s detained population. While not owned by ICE, CDFs are run solely for ICE and, like SPCs, offer ICE great control over bed space. These facilities are located in Aurora, Colorado; Houston, Texas; Tacoma, Washington; Elizabeth, New Jersey; Broward County, Florida; Pearsall, Texas; and San Diego, California. The seven CDF facilities have an average daily population of 5,344 and an average bed rate of \$84.70 per day. Changes are being explored such as tiered rates and guaranteed minimums to produce cost efficiencies as well as to meet detention reform requirements.



\*FY 2005 – FY 2011 are the average daily population maintained by ICE during that year, while FY 2012 and FY 2013 are the funded levels of ICE detention beds.

## (2) Detention Bed Costs

The cost of detaining an alien for a single day varies by region and facility type. The bed cost has several components, including expenses incurred for direct detention bed acquisition, detention guard services, meals provided to detainees, welfare items, detainee health care, and indirect costs such as overhead costs, facility maintenance, and printing costs associated with case management. In FY 2011, ICE was able to maintain the average bed cost per day at or below estimated rates, to include inflation, at the level funded by Congress by:

- Discontinuing use of three high-cost SPCs – Aguadilla, Varick, and San Pedro;
- Increasing the use of the ICE Health Service Corps (IHSC) to deliver detainee healthcare; and
- Taking advantage of guaranteed minimums with reduced or free beds after occupying a specified number of beds.

### *Analysis of Bed Space Costs and Managerial Cost Accounting Model*

In FY 2009, ICE was able to define cost components and properly review financial and operational data to calculate overall average bed costs. This analysis provided insight into detention operations and costs including contracts for detention bed space, healthcare, and overhead costs. This analysis also showed cost differences across ICE's geographic areas of responsibility and types of facilities. In FY 2011, ICE built on the bed cost information and developed its first Managerial Cost Accounting (MCA) model. The MCA model facilitates managing the entire alien removal process by showing key costs (e.g., bed costs, transportation costs) along with their associated cost drivers (e.g., Average Length of Stay, Healthcare, Flight Costs). By using the MCA model, ICE will be able to better manage its costs and make informed decisions to keep costs low.

ICE has gained insight into two of the main cost drivers associated with bed costs:

- **Average Length of Stay (ALOS).** A reduction in ALOS of one day is estimated to result in a three percent reduction overall in the total detention cost requirement. Currently ICE is taking steps to reduce ALOS by:
  - Signing an Memorandum of Understanding (MOU) with the Department of State (DOS) on April 18, 2011 formalizing an agreement between ICE, DOS, and the Bureau of Consular Affairs in an effort to gain compliance from recalcitrant countries regarding their obligations to issue travel documents and accept their nationals;
  - Reducing transfers of detainees between detention locations. Transfers increase costs by increasing detention time; and
  - Working with the ICE Office of International Affairs in reducing the number of days of advanced notification to process removals via commercial aircraft.
- **Healthcare.** Healthcare accounts for approximately 12 percent of ICE detention cost requirements. Though healthcare costs nationwide have risen far more quickly than other costs, ICE saw only a four percent increase in its healthcare expenditures from FY 2009 to FY 2010. ICE is using its bed cost analysis and MCA to help to continue to effectively manage healthcare

*The criminal alien Average Length of Stay was 34.7 days in FY 2011.*

cost requirements. Additionally, ICE has moved to utilizing IHSC to deliver detainee healthcare when possible instead of contracted medical services.

The negotiated contractual cost for bed space is subject to upward adjustment under the *Service Contract Act of 1965*, under which the Department of Labor ensures that each service employee, primarily guards in ICE’s case, is not paid less than the minimum wage and fringe benefits applicable to the locality and industry where they are employed. Over the years, ICE has experienced significant upward adjustments to the contractual component of bed cost as a result of provisions of this act. To counter the effect of these upward adjustments, ICE continues to maximize use of less expensive detention resources and to identify opportunities to centralize procurement. In addition to the upward adjustments to the wage component, the detainee healthcare component is also subject to increases due to the increased identification of healthcare needs of detainees and requests for outside services.

**(3) Average Length of Stay**

Another significant detention cost driver is the ALOS for an alien in detention before his or her final removal. ALOS is computed from the length of the adjudication process for detained aliens, including their appearance before the Executive Office for Immigration Review (EOIR), leading to a final order. EOIR has 268 immigration judges conducting hearings for the detained docket. On average, about 45 percent of detained criminal aliens must appear before an immigration judge.

**Average Length of Stay: FY 2009 – FY 2011**

Fiscal Year	ALOS		
	Criminal	Non-Criminal	Weighted
2009	41	25.8	31.3
2010	36.6	25.9	31.5
2011	34.7	22.7	29.2

ERO continuously works with EOIR to accelerate the legal review with full regard for due process in order to help reduce the ALOS. Additionally, ICE is planning to increase detention capacity in locations where detainee transfers occur most often, since these transfers significantly impact the ALOS.

**(4) Healthcare Related Costs**

ERO provides primary healthcare for detainees, which is managed by the ICE Health Service Corps (IHSC) through comprehensive health screening and the provision and oversight of direct patient care services to the detainee population,

### **FY 2011 Medical Service Changes**

*ICE created medically-trained Field Medical Coordinators to provide on-site medical advice, assist in decisions for care, and coordinate with other facilities to determine best placement of detainees with medical conditions based on availability of medical services.*

*ICE developed the system requirements and acquisition strategy for an electronic Health Record System (eHR) to be deployed in all IHSC-staffed facilities. System development will begin in 2011 with an estimated deployment date of December 2013. eHR will increase provider productivity and patient safety throughout IHSC staffed medical clinics.*

IHSC is working on several initiatives focused on improving health care services provided to detainees while enhancing health care operational capabilities and strengthening accountability and decision making processes based on credible data. Typically immigration detainees lack regular access to professional health care services and in many instances, the care provided in ICE custody is the first professional medical attention they have received.

IHSC is finalizing an enhanced medical and mental health classification system to ensure detainees are placed at facilities that can best meet their needs thus reducing transfers. Final modifications on the web-based version of the database will be completed in FY 2012 with full implementation throughout the IHSC system to follow. IHSC has also implemented a new program to place new Field Medical Coordinators at ERO Field Offices. These new personnel will serve as consultants addressing a host of

medical issues to include health care case management and compliance with health care standards at facilities within the field office area of responsibility. ICE is also developing a comprehensive electronic health records system (eHR) to enhance communication among facilities to improve the reporting and delivery of care to detainees.

Benefits of eHR include:

- Provider productivity by eliminating repetitive and manual administrative and documentation requirements;
- Rapid access to patient records without having to request them from previous institutions;
- Access to more complete medical records that are sometimes not provided in transfer and eliminates potential duplication of unnecessary testing;
- More consistent, complete and time efficient documentation, that allows for more time to be spent on direct patient care;
- Complete patient record availability to multiple providers who can access the record simultaneously;
- Quick identification of possible adverse outcomes due to known allergies and alerts to prevent drug-to-drug interaction; and
- Real time access to medical personnel when the detainee is transferred to another facility.



### **(5) Detention Standards Compliance Oversight**

The On-Site Detention Compliance Oversight Program relies on the oversight of Detention Service Managers (DSMs) for compliance with both the National Detention Standards and the Performance-Based National Detention Standards to ensure the safe,

secure, and humane housing of all detainees. ICE created the DSM position in FY 2010 in response to ICE's initiative on Immigration Detention Reform to enhance oversight and care of detainees in ICE custody. DSMs are a vital contributor leading to a reduction in detainee grievances, improved standards compliance, and an increase in the overall final ratings assigned to facilities during the annual detention review process, currently conducted by a contract service provider. These personnel report directly to ICE headquarters in order to provide an independent reporting of conditions. ICE monitors detention facilities for compliance with applicable detention standards that specify the living conditions and services required to provide detainees with appropriate care. Each authorized facility receives an annual inspection by an independent contractor.

In FY 2011, 95 percent of ICE detention facilities were found to be in compliance with the national detention standards by receiving an inspection rating of acceptable or greater during the annual review. The other 5 percent found not to be in compliance with the standards are afforded an opportunity to correct the identified deficiencies. There were no contracts terminated in FY 2011.

## **(6) Detention Reforms**

Detention reform is an important and difficult challenge. The present immigration detention system grew at a rapid pace over the past 15 years. At any given time, ICE has a detention population of more than 33,000 individuals housed in hundreds of facilities. Many of these facilities are jails designed for penal - not civil - detention. ICE now has underway a series of comprehensive detention reforms designed to ensure that conditions of confinement are safe, secure, and humane.

The goal is to move towards a system designed for and based on ICE's civil detention authorities. ICE is working to design new facilities and implement new policies that will bring improved conditions of confinement, medical care, and oversight. To achieve the goals of detention reform, ICE has:

- Consolidated the number of facilities from 340 to 260, and has developed a plan for further consolidating our detained population in new, improved facilities. The new facilities will be located in areas that are near the site of detainees' apprehensions, as well as near legal service providers, medical providers, immigration courts, and transportation hubs. By keeping detainees in nearby facilities as often as possible, ICE hopes to minimize disruptions to families, and legal and court services.
- Designed a new intake process, which is in the process of being automated, to ensure consistent nationwide decision making about who is detained, placed into a monitoring program, released, or granted bond. This system takes into account public safety and risk of flight factors. The intake process will also take into consideration many of the special vulnerabilities relevant to detention: disability, advanced age, pregnancy, nursing, sole caretaking responsibilities, mental health issues, and whether the individual is a victim of torture, persecution, abuse or trafficking.

### ***Contracting Changes to Reflect Reforms***

*In FY 2011, ICE completed negotiations to begin contract modifications necessary in implementing Performance - Based National Detention Standards in ICE's top 22 facilities, which held approximately 18,700 of the 33,330 ADP through September 30, 2011.*

*In FY 2011, ICE acquired a detention facility uniquely suited to ICE's civil detention authority which is based on individual characteristics of a diverse population. The first such facility involves the acquisition of 600 residential beds in Karnes, Texas which will provide appropriate housing for low risk detainees.*

- Developed a new set of detention standards that will substantially improve conditions of confinement and ensure enhanced medical care, religious programming, recreation and visitation.

ICE has made progress improving medical care provided to detainees, which is at the forefront of the agency’s reforms. For example, ICE has addressed delays associated with detainees’ health care by eliminating the need for prior approval for medically-necessary care. ICE has also eliminated restrictions on the treatment of pre-existing conditions. These changes simplify the process for detainees to receive health care services.

A newly reorganized ICE Health Service Corps (IHSC), with a staff of approximately 900 personnel, maintains clinics at 21 detention and staging facilities. IHSC continues to reduce medical staff vacancies by actively recruiting officers from the United States Public Health Service and by increasing its medical civilian workforce. IHSC has also placed medical officers at twelve Field Offices to help manage complex medical cases. To further enhance detainee medical care, ICE will devise and implement a medical classification system that will improve awareness of an individual detainee's medical and mental health conditions from the time the individual first enters detention. ICE has taken a number of steps to improve transparency and accountability in our detention system including:

- launching an Online Detainee Locator System, translated into nine languages, which allows families, counsel and friends to locate detainees;
- hiring and training a corps of more than new 40 detention service monitors (DSM) posted to our major detention facilities, who ensure that facilities in compliance with detention standards and who report back to the agency their findings; and
- establishing the Office of Detention Oversight within the Office of Professional Responsibility, which conducts targeted inspections and investigations at detention facilities.

ICE is currently developing a new generation of detention facilities. These new facilities will be dedicated to ICE detainees, have conditions appropriate to the needs of our diverse population, and provide safe, secure and humane environments for all detainees and staff. Notable progress includes a new civil detention facility near completion in Karnes County, Texas scheduled to open in February 2012, and proposals being evaluated in Northern California, Miami, Chicago, the Carolinas, and the Northeast area of the country.

**Average Daily Population, ALOS, and Removals and Returns Statistics**

In FY 2012 and FY 2013, ICE will maintain an average daily population of 34,000 and 32,800 detainees respectively, while managing the average length of stay and removal numbers.

Statistic	ERO Plans	
	FY 2012 est.	FY 2013 est.
Average Daily Population	34,000	32,800
Average Length of Stay (Criminal Aliens)	35.0 days	35.0 days
Total Criminal Alien Removals and Returns	210,000	224,000



Custody Operations will reduce non-mission critical spending by \$47.2 million through vehicle fleet, PCS, TDY, professional service contract, and other administrative efficiencies.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>2,050,545</b>
<b>Adjustments-to-Base</b>	<b>(53,153)</b>
<i>GSA Rent</i>	5,644
<i>FY 2013 Pay Increase</i>	2,851
<i>Enterprise Wide Efficiencies</i>	(28,057)
<i>Administrative Savings</i>	(19,177)
<i>Attrition of Mission Support FTE</i>	(14,414)
<b>Program Changes</b>	<b>(38,029)</b>
<i>Reduction in Detention Beds to 32,800</i>	(53,436)
<i>VTC Expansion</i>	7,012
<i>Realignment and Reduction of 287(g)</i>	8,395
<b>FY 2013 Request</b>	<b>1,959,363</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
ERO - Fugitive Operations  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: ERO - Fugitive Operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>655</b>	<b>699</b>	<b>233,000</b>
<b>2012 Enacted Budget Authority</b>	<b>788</b>	<b>700</b>	<b>154,597</b>
2013 Adjustments-to-Base	-	(5)	(21,672)
<b>2013 Current Services</b>	<b>788</b>	<b>695</b>	<b>132,925</b>
<b>2013 Total Requested Budget Authority</b>	<b>788</b>	<b>695</b>	<b>132,925</b>
Total Change 2012 to 2013	-	(5)	(21,672)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$132.9 million, 788 positions, and 695 FTE for the National Fugitive Operations Program (NFOP) to identify, locate, arrest, or otherwise reduce the fugitive alien population in the United States. This is a net Adjustment to Base decrease of \$21.7 million from the FY 2012 enacted amount. The Adjustments to Base include changes for pay inflation, GSA rent, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies.

**QHSR Alignment**

**3.2 Prevent Unlawful Immigration**

**ICE Strategic Plan Alignment**

**3.1 Detaining and Removing Aliens Seeking Illegal Entry**

**Justification**

*Salaries (\$107 million)*

NFOP will have a staffing level of 695 FTE in FY 2013.

*Expenses (\$25.9 million)*

NFOP will fund the Fugitive Operation Support Center (FOSC), which analyzes the outstanding cases of U.S. fugitive aliens and the at-large criminal alien population as recorded in the Enforce Alien Removal Module (EARM) in order to assist NFOP in locating aliens or determine that a case should be closed.

## Description

The NFOP locates, arrests, and removes aliens from the United States who have failed to comply with removal orders. NFOP teams plan and conduct complex investigations on fugitive cases, giving priority to fugitive criminal aliens and cases that pose a threat to public safety.

*A fugitive is defined as any alien who has failed to leave the U.S. following the issuance of a final order of removal, deportation or exclusion, or has failed to report to ICE after receiving notice to do so.*

## Fugitive Operations Teams (FOTs)

Each of the 24 ICE Enforcement and Removal Operations (ERO) field offices has at least one operational FOT. In total, ERO has 104 FOTs that are operational and conducting enforcement activities across the United States. Enforcement activity involves analysis and cross-referencing of records; surveillance; investigative interviews; liaison with federal, state and local public safety agencies as well as foreign government representatives; administration of subpoenas; and execution of both administrative and criminal warrants to make arrests.

Actions to remove an alien from the fugitive backlog include: physical arrests; detainers placed on individuals located in a federal, state or local facility; docket management including case category changes that result in a fugitive being removed from the backlog; and case closures.



Operations Return to Sender, Secure Streets and Cross Check are the primary enforcement initiatives utilized by FOTs.

*The NFOP was launched in 2003 with eight FOTs nationwide. Today, ICE has 104 FOTs deployed nationwide.*

- *Operation Return to Sender* is an initiative that applies an organized and methodical approach to the identification, location, and arrest of fugitives. The operation combines Fugitive Operations resources with other federal, state and local law enforcement entities. As of September 30, 2011, FOTs have arrested 2,532 aliens under Operation Return to Sender.
- *Operation Secure Streets* is an initiative to locate and arrest aliens who have been convicted of violations involving operating a motor vehicle while under the influence. As of September 30, 2011, FOTs have arrested 732 aliens under Operation Secure Streets.
- *Operation Cross Check* serves as the operational umbrella for other focused enforcement efforts conducted by FOTs that target specific criminal and fugitive alien populations, such as aliens who have been convicted of violent crimes. NFOP joins forces and leverages authorities during these operations with other DHS components and numerous federal, state and local law enforcement agencies. As of September 30, 2011, FOTs have arrested 5,342 aliens under Operation Cross Check.

FOT cases may also be developed from various sources, including the ICE TIPLINE, Interpol, the FOISC, U.S. Citizenship and Immigration Services referrals and other DHS entities, Probation and

Parole, and other law enforcement agencies. FOT members attend specialized training that includes ERO policy and guidance, immigration law, arrest techniques, and program-specific training to enable them to conduct operations specific to Fugitive Operations, including high-profile escapes, high-risk entries, and service of criminal warrants, and the location and arrest of foreign fugitives wanted abroad and found at-large in the United States.

### **Fugitive Operations Support Center (FOSC) and Fugitive Backlog**

Through the use of technology and partnerships with law enforcement agencies, the FOSC focuses on analyzing the nature and characteristics of the U.S. fugitive alien population. FOSC addresses long-established interoperability problems associated with the many DHS databases containing alien information. FOSC uses IT solutions to address these issues by electronically comparing fugitive data in the EARM against other DHS and non-DHS databases. FOSC identifies fugitives that have adjusted to a legal status, have departed the United States, are incarcerated, or who may have violent criminal records previously unknown to the field officer.

*“By focusing our resources on arresting and removing fugitive aliens, convicted criminal aliens, and those who re-enter the country after removal, we are addressing significant security vulnerabilities.”*

-ICE Spokesperson, August 9<sup>th</sup>  
News Briefing

The success of FOSC’s integrated efforts within the NFOP has, for the first time, resulted in a decrease in fugitive growth. For FY 2011, the backlog reduction exceeded the fiscal year goal of five percent with an actual decrease of 5.25 percent. In contrast, from September 2003 to September 2006 – before the growth of the NFOP and FOSC – the fugitive backlog grew by an average of 5,682 fugitives per month, or 68,184 per year.

NFOP’s primary goal is to reduce the fugitive backlog. As of September 30, 2011, there were 479,773 fugitives in the United States. Of the fugitives on the backlog, 7,950 were Secure Communities (SC) Level I, 11,905 were SC Level II, and 5,098 were SC Level III. Reduction is accomplished by arresting fugitives and by reconciling fugitive alien records. Reconciliation involves the elimination of cases relating to fugitives based on evidence that the subject alien left the country, successfully adjusted status, died, or was discovered to be incarcerated and is therefore no longer a fugitive. New cases are continuously added to the backlog when final orders of removal are received, but the alien fails to depart the United States. Much of the credit for the reduction in the fugitive backlog can be attributed to the expansion of the program and the establishment of the FOSC.

<b>Fugitive Backlog by Fiscal Year</b>	
October 1, 2006	632,726
October 1, 2007	594,756
October 1, 2008	557,761
October 1, 2009	534,497
October 1, 2010	506,332
October 1, 2011	479,773
As of December 31, 2011	475,604

## FY 2013 Planned Activities

In FY 2013, ICE will continue to conduct targeted fugitive alien operations to reduce the fugitive alien backlog. The 104 FOTs will target criminal fugitive aliens, non-criminal fugitive aliens, aliens previously removed from the United States, at-large aliens convicted of crimes, and aliens found to be a threat to community safety, such as members of transnational street gangs, child sex offenders, and aliens with prior convictions for violent crimes. In FY 2013, the NFOP plans to conduct national and regional Cross Check and Return to Sender Operations.

Fugitive Operations will reduce non-mission critical spending by \$22 million through vehicle fleet, PCS, TDY, professional service contract, and other administrative efficiencies.

## Budget Change FY 2012 – FY 2013

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>154,597</b>
<b>Adjustments-to-Base</b>	<b>(21,672)</b>
<i>GSA Rent</i>	716
<i>FY 2013 Pay Increase</i>	687
<i>Enterprise Wide Efficiencies</i>	(2,586)
<i>ERO Right Sizing</i>	(15,000)
<i>Administrative Savings</i>	(4,402)
<i>Attrition of Mission Support FTE</i>	(1,087)
<b>FY 2013 Request</b>	<b>132,925</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
ERO - Criminal Alien Program  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: ERO - Criminal Alien Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>942</b>	<b>1,143</b>	<b>195,077</b>
<b>2012 Enacted Budget Authority</b>	<b>1,627</b>	<b>1,376</b>	<b>196,696</b>
2013 Adjustments-to-Base	-	(7)	20,028
<b>2013 Current Services</b>	<b>1,627</b>	<b>1,369</b>	<b>216,724</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,627</b>	<b>1,369</b>	<b>216,724</b>
Total Change 2012 to 2013	-	(7)	20,028

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$216.7 million, 1,627 positions, and 1,369 FTE for the Criminal Alien Program (CAP) to maintain existing efforts towards the DHS mission of preventing unlawful immigration and removing high-risk criminal aliens. This is a net Adjustment to Base increase of \$20 million from the FY 2012 enacted amount. The Adjustments to Base include changes for pay inflation, GSA rent, attrition of mission support FTE, and other administrative efficiencies.

**Justification**

*Salaries (\$165.2 million)*

CAP will have a staffing level of 1,369 FTE in FY 2013.

*Expenses (\$51.5 million)*

The LESC, with the exception of the TIPLINE, was transferred from ICE's Homeland Security Investigations to ICE's Enforcement and Removal Operations (ERO) in FY 2012. A large part of LESC's function is to respond to requests for immigration status determinations received from law enforcement and shifting the management to ERO will enhance efficiency. Since a majority of LESC inquires are related to

**QHSR Alignment**

**3.2 Prevent Unlawful Immigration**

**ICE Strategic Plan Alignment**

**3.1 Detaining and Removing Aliens Seeking Illegal Entry**

**Associated HPPG/GPRA Measure**

*Number of convicted criminal aliens removed per fiscal year.*

ERO, CAP will now be able to recognize criminal aliens sooner as queries come into the LESC from around the country. In FY 2013, CAP will spend \$29.4 million for the LESC for salaries and general expenses.

*The LESC, located in Williston, Vermont, operates a communications center that provides National Crime Information Center confirmations within 10 minutes to law enforcement agencies 24 hours a day, 7 days a week.*

## **Description**

The Criminal Alien Program is responsible for identifying, processing, and removing criminal aliens incarcerated in federal, state and local prisons and jails throughout the United States. CAP's goal is to prevent the release of these criminal aliens into the general public after they complete their sentences by securing a final order of removal prior to the end of their sentences. CAP also pursues at-large criminal aliens found removable after release based on criminal convictions.

## **Risk-based Approach**

CAP uses a risk-based approach that places priority on criminal aliens based on their threat to the community.

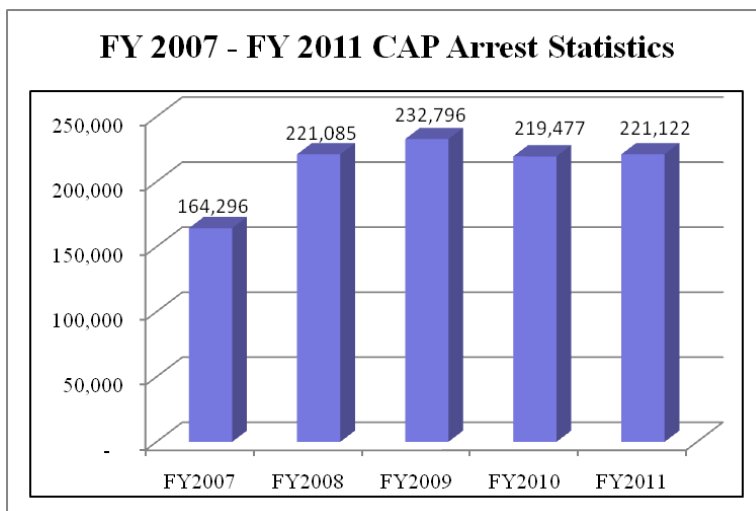
Resources are focused on those areas of the United States that contain the highest number of criminal aliens who may be threats to both public safety and national security. ICE uses federal information sharing through the Secure Communities program and gains force multiplication through state and local law enforcement officers currently participating under the 287(g) jail model program, which provides certain delegated immigration authorities.

## **CAP Teams**

*There are more than 1,200 CAP Officers that monitor over 4,300 facilities.*

CAP officers screen prison and jail populations to identify aliens for removal processing and prioritization. When an alien is identified and found to be amenable to removal through either a screening or an interview, a detainer is lodged. Subsequently, proceedings will begin to remove the alien from the United States.

The identification and processing of incarcerated criminal aliens before release decreases or eliminates time that would be spent in ICE custody following release, which greatly reduces the cost to the federal government.



### Violent Criminal Alien Section

ICE's Violent Criminal Alien Section (VCAS) screens recidivist criminal aliens encountered through CAP, the National Fugitive Operations Program, and local law enforcement to seek criminal prosecution of these aliens to reduce future recidivism, either through deterrence or incarceration. Integral to success in this effort is collaboration with United States Attorney's offices (USAOs) to prosecute VCAS-identified criminal offenders.

There were 9,453 indictments and 9,730 convictions in FY 2011 compared to 8,233 indictments and 8,101 convictions in FY 2010. This was a nearly 15 percent increase in indictments and a 20 percent increase in convictions.

### Initiatives

- Joint Criminal Alien Removal Taskforce.** ICE's Joint Criminal Alien Removal Taskforce (JCART) focuses on locating and arresting at-large criminal aliens with convictions for drug trafficking, violent crimes and sex offenses. Working closely with other agencies, JCART conducts special operations including criminal aliens who have been released from federal, state, or local custody.

*Other agencies that JCART works with include:*

- *United States Marshal's Service;*
- *ICE Homeland Security Investigations;*
- *U.S. Customs and Border Protection;*
- *Bureau of Prisons; and*
- *Probation and Parole Offices*

- Phoenix Law Enforcement Area Response (LEAR).** The Phoenix Law Enforcement Area Response provides a method for state and local law enforcement agencies (LEAs) in Arizona to directly contact ICE regarding suspected immigration violators. LEAR staff responds to LEA requests 24 hours a day/seven days a week. ICE officers determine nationality, immigration status, and removability. Immigration detainers are placed, and removable aliens are processed by ERO. Responses are provided for 100 percent of LEA calls received. The LEAR program has resulted in more than 1,700 arrests in FY 2011.



- **Law Enforcement Support Center.** The Law Enforcement Support Center (LESC) was aligned under ERO in FY 2011. LESL operates 24 hours a day/seven days a week to provide timely and accurate information to LEAs on the identity and immigration status of individuals who have been arrested or who are under investigation for criminal activity. LESL technicians have ready access to a wide range of databases and intelligence resources. In addition, the LESL analyzes and disseminates information received from the public about suspicious or criminal activity. Information obtained from the public via ICE’s toll-free tip hotline is analyzed by the professional law enforcement staff at the LESL and quickly forwarded to ICE field units for investigation or other action.
- **Rapid REPAT.** The Rapid Removal of Eligible Parolees Accepted for Transfer (Rapid REPAT) program offers selected criminal aliens incarcerated in U.S. prisons and jails the opportunity to accept early release in exchange for voluntarily returning to their country of origin. Aliens who have been convicted of non-violent offenses may receive early conditional release if they have a final order of removal and agree not to return to the United States. Eligible aliens must agree to waive appeal rights associated with their state convictions. If aliens re-enter the country following removal under the Rapid REPAT program, state statutes may provide for revocation of parole and incarceration for the remainder of the alien’s original sentence. Additionally, aliens illegally re-entering may face additional federal charges and penalties. Rapid REPAT also helps participating states reduce the costs associated with detention.

**FAQ: What is the difference between CAP and Secure Communities (SC)?**

*CAP is responsible for the identification, arrest, and processing for removal of aliens that are found incarcerated in Federal, state, and local facilities and at-large in the community. SC is a federal information sharing initiative between DHS and DOJ through which fingerprint biometrics are matched against immigration databases when an alien is booked into a jail after having been charged with a crime by a law enforcement agency. The SC information sharing initiative assists in making the identification of criminal aliens in federal, state, and local facilities more efficient and effective.*

**FY 2013 Planned Activities**

By the end of FY 2013, the Secure Communities information sharing initiative will be activated nationwide and CAP will work to strategically place resources to most efficiently respond to the related increased workload, including at the LESL. CAP will work to ensure that those aliens identified as amenable to removal are placed into proceedings and receive a final order of removal prior to their release from jail or prison. This will decrease the cost of detention to the Federal government. As funding permits, CAP plans to initiate “surge” operations to identify, arrest, and remove at-large criminal aliens that pose a risk to public safety and national security.

While CAP will reduce non-mission critical spending by \$2.4 million through vehicle fleet, PCS, TDY, professional service contract, and other administrative efficiencies, this is offset by other increases to “right-size” the program’s budget based on its core salaries and expenses. In FY 2013 ICE plans to complete nationwide implementation of SC/CIRCA interoperability, covering 100 percent of the country’s jails and prisons and increasing the workload and daily activities of CAP and the Law Enforcement Support Center (LESL).

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>196,696</b>
<b>Adjustments-to-Base</b>	20,028
<i>GSA Rent</i>	935
<i>FY 2013 Pay Increase</i>	870
<i>ERO Right Sizing</i>	22,000
<i>Administrative Savings</i>	(2,394)
<i>Attrition of Mission Support FTE</i>	(1,383)
<b>FY 2013 Request</b>	<b>216,724</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
ERO - Alternatives to Detention  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: ERO - Alternatives to Detention**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>182</b>	<b>176</b>	<b>71,832</b>
<b>2012 Enacted Budget Authority</b>	<b>204</b>	<b>186</b>	<b>72,373</b>
2013 Adjustments-to-Base	-	(2)	(686)
<b>2013 Current Services</b>	<b>204</b>	<b>184</b>	<b>71,687</b>
2013 Program Change	70	35	39,903
<b>2013 Total Requested Budget Authority</b>	<b>274</b>	<b>219</b>	<b>111,590</b>
Total Change 2012 to 2013	70	33	39,217

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$111.6 million, 274 positions, and 219 FTEs for the Alternatives to Detention (ATD) program within Enforcement and Removal Operations (ERO) to contribute to the DHS mission of preventing unlawful immigration. This is a \$39.2 million increase from the FY 2012 enacted amount. The net decrease of \$0.7 million for Adjustments to Base includes changes for pay inflation, GSA rent, enterprise wide efficiencies, attrition of mission support FTE, and other administrative efficiencies. The ATD program budget request also includes a \$39.9 million increase, including 70 IEAs, to address the expansion of the ATD program correlated with the reduction in the planned level of funded detention beds. This change is described in more detail in the programmatic change section.

<b><u>QHSR Alignment</u></b>
<b>3.2 Prevent Unlawful Immigration</b>
<b><u>ICE Strategic Plan Alignment</u></b>
<b>3.1 Detaining and Removing Aliens Seeking Illegal Entry</b>

**Justification**

*Salaries (\$43.7 million)*

ATD will have a staffing level of 219 FTE in FY 2013.

*Expenses (\$67.9 million)*

In FY 2013, ATD will use general expense funds for contractual support and equipment for the Full-Service and Technology-Only programs.

## **Description**

The ATD program uses technology such as ankle bracelets and parole-like supervision to track aliens who have been accused of immigration violations. ICE will continue to focus its use of detention beds on those high priority individuals who have criminal convictions or fall under other priority categories. Recognizing that not all aliens apprehended by ICE require a detention bed, the Administration believes that alternate forms of detention such as electronic monitoring and supervision can be just as effective for low priority individuals as traditional detention.

## **ATD Participation Determination**

*Currently, the cost of placing a participant in an ATD program component can range from \$0.17 to \$17.78 per alien per day, depending on the type of service required and the technology used.*

The ATD program provides alternate detention options for those aliens for whom ICE has determined traditional detention is neither mandated nor appropriate. The decision to utilize ATD resources for aliens not subject to mandatory detention is based on assessment criteria

including an alien's risk of absconding, possible threat to public safety, immigration status, medical and mental health factors, removability, and other factors.

## **Full-Service (FS) Program**

In the FS program, contractors monitor participants using a combination of home and office visits, as well as some form of technology assistance (e.g., global positioning system or telephonic reporting). FS programs are currently available in over 30 locations nationwide for aliens residing within a 50 to 85 mile radius of an ICE office.

Within 24 hours of referral to the ATD program by an ERO officer, an assessment on each participant is conducted, from which an individual service plan is created. That plan includes residence verification and referral services for legal, translation, transportation, travel documents, departure, and other community services. Contract case specialists also help to assure that aliens appear at their scheduled removal hearings.

The FS program features five stages of supervision for program participants:

- Pre-Order
- Post-Order
- Appeal
- Post-Order Custody Review, Reasonably Foreseeable Removal (POCR RFR)
- Post-Order Custody Review, Not Foreseeable Removable (POCR NFR).

## **Technology-Only (TO) Program**

TO services are available at all 24 field offices and 44 sub-office locations. With a virtually unlimited capacity, TO can be used when FS is not available or if FS is not necessary for the program participant.

In the TO program, a contractor provides the equipment and monitoring services, while ICE officers supervise and administer case management services to participants.

The principal difference between Full-Service and Technology-Only ATD is the human factor. Cases in Full-Service ATD are managed by contractors while cases in Technology-Only ATD are overseen by ICE employees using contractor-supplied hardware.

ICE determines which program to use in a given case based on flight risk, likelihood of imminent removal, and prior compliance history, among other factors.

**FY 2013 Planned Activities**

Expansion of the ATD program in FY 2013 is in coordination with the reduction of 1,200 detention beds in FY 2013. ICE proposes that increasing ATD can allow for oversight of the lowest risk aliens, decreasing the need for detention capacity while maintaining enough beds to achieve the Administration’s goals of removing priority aliens. Additionally, the Budget proposes administrative flexibility for the Secretary of Homeland Security to redirect funds from other ICE programs to detention to ensure all high-priority aliens, including criminals, continue to be detained. The Administration will only enroll low-risk aliens in ATD programs.

ATD will reduce non-mission critical spending by \$4 million through vehicle fleet, PCS, and professional service contract, and other administrative efficiencies.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>72,373</b>
<b>Adjustments-to-Base</b>	(686)
<i>GSA Rent</i>	176
<i>FY 2013 Pay Increase</i>	130
<i>Enterprise Wide Efficiencies</i>	(987)
<i>ERO Right Sizing</i>	3,500
<i>Administrative Savings</i>	(2,996)
<i>Attrition of Mission Support FTE</i>	(509)
<b>Program Changes</b>	39,903
<i>ATD Expansion</i>	39,903
<b>FY 2013 Request</b>	<b>111,590</b>

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
ERO - Transportation and Removal Program  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: ERO - Transportation and Removal Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	276,628
<b>2012 Enacted Budget Authority</b>	59	59	276,632
2013 Adjustments-to-Base	-	(10)	(18,405)
<b>2013 Current Services</b>	59	49	258,227
<b>2013 Total Requested Budget Authority</b>	59	49	258,227
Total Change 2012 to 2013	-	(10)	(18,405)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$258.2 million, 59 positions, and 49 FTE for the Transportation and Removal Program (TRP) to plan and execute the removal and return of illegal aliens within ERO. This is a net Adjustment to Base decrease of \$18.4 million from the FY 2012 enacted amount. The Adjustments to Base include changes for pay inflation, enterprise-wide efficiencies, attrition of mission support FTE, and other administrative efficiencies.

**Justification**

*Salaries (\$9.5 million)*

TRP will have a staffing level of 49 FTE in FY 2013.

*Expenses (\$248.7 million)*

TRP will coordinate the removal of over 224,000 convicted criminal aliens primarily through contractual arrangements with commercial and charter air carriers managed by the Removal Coordination Unit (RCU) and ICE Air Operations.

<b><u>QHSR Alignment</u></b>
<b>3.2 Prevent Unlawful Immigration</b>
<b><u>ICE Strategic Plan Alignment</u></b>
<b>3.5 Achieve Efficiency in the Removal Process</b>

## Description

TRP coordinates the safe and secure transportation of aliens in ICE custody and their removal from the United States. Several key ERO units support this mission.



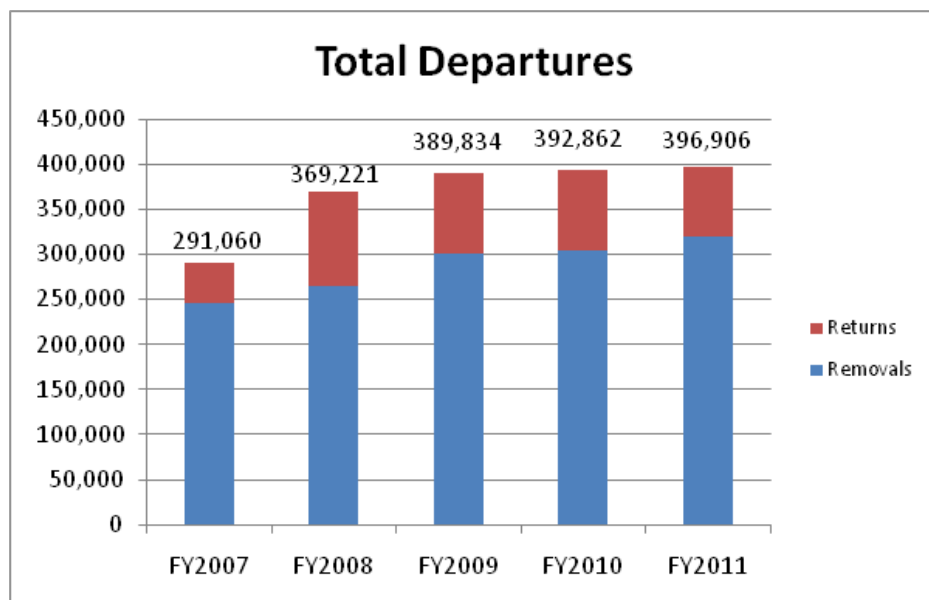
ERO's Removal Management Division formulates all transportation and removal policy, conducts planning, defines and projects requirements, and oversees and supports Field Office Directors' (FODs) execution of transportation resources. The division carries out its responsibilities through three support units: the Travel Document Unit; the Removal Coordination Unit; and the ICE Air Operations Unit located in Kansas City, Missouri.

### Travel Document Unit (TDU)

TDU supports field offices, ICE Attachés, and foreign embassies and consulates for travel document and removal related issues to ensure the safe and orderly removal of aliens from the United States. TDU also has oversight of the electronic Travel Document System (eTD) and conducts liaison with governmental and non-governmental organizations, over 200 embassies and consulates within the United States, foreign governments and law enforcement organizations worldwide.

### Removal Coordination Unit (RCU)

RCU manages commercial airline removals. ICE utilizes commercial air travel for escorted and unescorted removals. RCU accomplishes this through the management of assigned contract personnel and the oversight of multiple contract service providers. These services include requesting country clearances through both the Secure Message and Routing Terminal cabling system and the Department of State's electronic Country Clearance system.



Departures by Type			
	Criminal*	Non-Criminal	Total <sup>2</sup>
<b>FY2007</b>	102,024	189,036	291,060
<b>FY2008</b>	114,415	254,806	369,221
<b>FY2009</b>	136,126	253,708	389,834
<b>FY2010</b>	195,772	197,090	392,862
<b>FY2011</b>	216,698	180,208	396,906

*By discontinuing use of the Joint Prisoner Alien Transportation System in October 2011, ICE will save \$27.6 million in FY 2012.*

\*Level 1 Criminals: FY2009 51,221; FY2010 64,466; FY2011 75,086

### **ICE Air Operations (IAO)**

ICE contracts for the use of flight hours on one small and eight large frame charter aircrafts to support the ICE removal mission. These aircraft are based in San Antonio, Texas (two aircraft); Alexandria, Louisiana (two aircraft), Miami, Florida (one aircraft), and Mesa, Arizona (three aircraft). IAO manages all ICE air charter operations. This includes domestic and international flights on any of the IAO charters. IAO oversees domestic and foreign scheduling of all ICE-managed aircraft. Scheduling is based on the operational requirements of the 24 ERO field offices, along with coordination with each respective receiving country and ICE Attaché office.

In October 2011, to ensure the most efficient use of removal resources, ICE discontinued use of the Joint Prisoner Alien Transportation System (JPATS) aircraft. This action saved ICE \$27.6 million in FY 2012. With this savings, TRP will use more cost-effective air charters that will allow ICE to affect increased removals. Some of the savings will also be used to help offset the rising costs in areas like ground transportation.

### **Mexican Interior Repatriation Program (MIRP)**

MIRP is a humanitarian initiative that also helps to combat cross-border smuggling by repatriating Mexican citizens to the interior of Mexico on direct flights from Southern Arizona. The U.S. border with Mexico between the states of Arizona and Sonora, Mexico, has accounted for some of the highest levels of illegal immigration into the United States in the past eight years. The United States and Mexico, by joint accord, designated the Tucson Sector’s western corridor as a “high risk” area under the bi-national Border Safety Initiative.

In FY 2011, MIRP began on July 11 and ended on September 28 resulting in 8,893 repatriations. From 2004 through 2011, MIRP has accounted for 111,094 repatriations to Mexico.

### **FY 2013 Planned Activities**

<sup>2</sup> Of this total, 2,044 were removed in prior fiscal years but reported removed in FY 2009; 19,422 were removed in prior fiscal years but reported removed in FY 2010; and 11,761 were removed in prior fiscal years but reported removed in FY 2011. This is due to a lag in disposition of all removal cases and because ICE reports yearly statistics within a few weeks of the end of the fiscal year. Beginning in FY 2009, ICE began to “lock” removal statistics on October 5<sup>th</sup> at the end of each fiscal year and counted only the aliens whose removal or return was confirmed. The removals and returns confirmed after October 5<sup>th</sup> are included in the next fiscal year.



In FY 2013, ICE will coordinate the removal of over 224,000 convicted criminal aliens and 401,900 total removals.

TRP will reduce non-mission critical spending by \$16.5 million through professional service contract and administrative efficiencies. Operating expenses will be reduced due to efficient management of ICE air operations and TRP will continue to look for other ways to reduce contract costs.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>276,632</b>
<b>Adjustments-to-Base</b>	(18,405)
<i>FY 2013 Pay Increase</i>	25
<i>Enterprise Wide Efficiencies</i>	(4,529)
<i>Administrative Savings</i>	(11,956)
<i>Attrition of Mission Support FTE</i>	(1,945)
<b>FY 2013 Request</b>	<b>258,227</b>

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Comprehensive Identification and Removal of Criminal Aliens**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Comprehensive Identification and Removal of Criminal Aliens**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>552</b>	<b>553</b>	<b>199,600</b>
<b>2012 Enacted Budget Authority</b>	<b>782</b>	<b>619</b>	<b>189,064</b>
2013 Adjustments-to-Base	-	108	(9,557)
<b>2013 Current Services</b>	<b>782</b>	<b>727</b>	<b>179,507</b>
2013 Program Change	-	-	(40,794)
<b>2013 Total Requested Budget Authority</b>	<b>782</b>	<b>727</b>	<b>138,713</b>
Total Change 2012 to 2013	-	108	(50,351)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$138.7 million, 782 positions, and 727 FTE for Secure Communities/Comprehensive Identification and Removal of Criminal Aliens (SC/CIRCA) to maintain efforts that contribute to the DHS missions of preventing unlawful immigration and of removing aliens seeking illegal entry to the United States. This is a \$50.3 million decrease from the FY 2012 enacted amount. The net \$9.6 million Adjustments to Base decrease includes changes for pay inflation, GSA rent, attrition of mission support FTE, and other administrative efficiencies. The \$40.8 programmatic change decrease reflects planned savings in equipment and services as SC/CIRCA reaches full deployment. This change is described in more detail in the programmatic change section.

**Justification**

*Salaries (\$103.6 million)*

CIRCA will have a staffing level of 727 FTE.

**QHSR Alignment**

**3.2 Prevent Unlawful Immigration**

**ICE Strategic Plan Alignment**

**3.1 Detaining and Removing Aliens Seeking Illegal Entry**

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**Associated HPPG Measures**

*Percent of aliens arrested or charged who will be electronically screened through Secure Communities*

*Number of aliens removed convicted of the most serious crimes (level 1 offenders)*

*Expenses (\$35.1 million)*

*Secure Communities helps ICE identify a significant percentage of the convicted criminals that are removed or returned each year.*

In FY 2013, CIRCA will fund general expenses to support the final deployment of CIRCA interoperability.

**Description**

Secure Communities enables ICE's strategy to identify and remove criminal aliens from the United States. The program helps ICE to more efficiently identify more criminal aliens, allowing the prioritization of enforcement actions on those posing the greatest threat to public safety. Through improved technology, continual data analysis, and timely information sharing with a broad range of law enforcement agency (LEA) partners, Secure Communities is another tool ICE uses to support its efforts to protect communities across the country. The cornerstone of this strategy is to increase state and local partnerships to ensure time-sensitive screening of all foreign born detainees and identification of criminal aliens.

To accomplish the SC goals, ICE uses an automated information sharing tool to assist in the identification of criminal aliens through fingerprint-based biometric identification technology to identify aliens lawfully or unlawfully present in the United States. It uses an already-existing federal information-sharing partnership between ICE and the FBI that helps to identify criminal aliens without imposing new or additional requirements on state and local law enforcement. This capability is part of ICE's comprehensive strategy to improve the identification and removal of criminal aliens. SC/CIRCA leverages the existing information-sharing capability between DHS and the Department of Justice to quickly and accurately identify aliens who are arrested for crimes.

*Secure Communities imposes no new or additional requirements on state and local law enforcement, and the federal government, not the state or local law enforcement agency, determines what immigration enforcement action, if any, is appropriate. Only federal DHS officers make immigration enforcement decisions, and they only do so after an individual is arrested for a criminal violation of state law, separate and apart from any violations of immigration law.*

ICE estimates that approximately 900,000<sup>3</sup> arrests of aliens for crimes occur every year and that approximately 550,000 criminal aliens convicted of crimes exit law enforcement custody every year. ICE has never had the capability to identify, arrest and remove all of these criminal aliens. ICE estimates that 1.9<sup>4</sup> million removable criminal aliens are in the United States today. This population of criminal aliens poses a major threat to public safety. A more comprehensive approach to address this threat is a priority of the Secretary of Homeland Security and of Congress.



<sup>3</sup> Secure Communities Criminal Alien Population Projection Analysis (CAPPA), Version 1.2 as delivered October 27, 2010. This version of the model has been validated by the CAPPA Working Group, but has not been made public. CAPPA includes analysis from the following sources: FBI Uniform Crime Report, 2007; Census Bureau American Community Survey, 2008; Bureau of Justice Statistics Felony Defendants in Large Urban Counties, 2006; Federal Justice Statistics Resource Center, 2008.

<sup>4</sup> Estimate calculation based on data pulled from U.S. Census Bureau, American Community Survey, 2008, <http://www.census.gov/acs/www>, adjusted for ACS undercount of the non-citizen population using the DHS OIS methodology and Bureau of Justice Statistics, Prevalence of Imprisonment in US Population, 1974-2001, 8/2003, <http://www.ojp.usdoj.gov/bjs/pub/pdf/piusp01.pdf>

To reduce this threat, Congress created Secure Communities in FY 2008 to establish a nationwide capability to identify all criminal aliens or potential criminal aliens at the time of arrest. To best protect public safety using available resources, ICE prioritizes enforcement actions toward the highest threat criminal aliens among those identified. ICE is committed to enforcement action against all identified criminal aliens convicted of an aggravated felony and as many others as resources permit. By prioritizing enforcement actions in this manner, ICE will remove the highest threat criminal aliens from the United States before they can exit the criminal justice system and re-enter our nation's communities. A complete list of all of these activations, which is updated weekly, is available at <http://www.ice.gov/doclib/secure-communities/pdf/sc-activated.pdf>.

**FY 2013 Planned Activities**

In FY 2013, ICE plans to complete implementation of nationwide interoperability by expanding to cover 100 percent of the national jurisdictions, including any jurisdictions originally planned for FY 2012.

ICE will detain and remove all criminal aliens who are subject to the mandatory detention provisions of the Immigration and Nationality Act by prioritizing its enforcement resources. ICE will also continue presenting criminal aliens who repeatedly re-enter the United States illegally to U.S. Attorney Offices for aggressive prosecution under felony immigration charges. As part of Secure Communities deployment, ICE will continue its outreach efforts to the national law enforcement community to strengthen information sharing partnerships.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>189,064</b>
<b>Adjustments-to-Base</b>	(9,557)
<i>GSA Rent</i>	679
<i>FY 2013 Pay Increase</i>	464
<i>Annualization of PY Funding</i>	14,100
<i>ERO Right Sizing</i>	(22,262)
<i>Administrative Savings</i>	(1,209)
<i>Attrition of Mission Support FTE</i>	(1,329)
<b>Program Changes</b>	(40,794)
<i>Secure Communities Reduction</i>	(40,794)
<b>FY 2013 Request</b>	<b>138,713</b>

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** ATD Expansion  
PPA: ERO - Alternatives to Detention  
Program Increase: Positions 70, FTE 35, Dollars \$39,903

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							204	184	71,687
Program Increase							70	35	39,903
<b>Total Request</b>	<b>182</b>	<b>176</b>	<b>71,832</b>	<b>204</b>	<b>186</b>	<b>72,373</b>	<b>274</b>	<b>219</b>	<b>111,590</b>

### Description of Item

Under this Administration, U.S. Immigration and Customs Enforcement (ICE) has focused its immigration enforcement efforts on identifying and removing criminal aliens and those who fall into other priority categories including national security threats, repeat immigration law violators, recent border entrants and immigration fugitives. Commensurate with this shift toward targeted enforcement and to realize the most cost effective use of federal resources, this budget includes flexibility to transfer funding between immigration detention and the Alternatives to Detention (ATD) program. Consistent with its stated enforcement priorities and recent policy guidance, ICE will continue to focus detention and removal resources on those individuals who have criminal convictions or fall under other priority categories, to the greatest extent permitted by law. For low risk individuals, ICE will increase resources to enhance the effectiveness of Alternatives to Detention, which provides a lower per day cost than detention. Coupled with the FY 2013 custody operations request, the additional ATD funding will enable ICE to place lower-risk individuals on ATD, maintaining the current capacity through detention and supervision.

ICE requests an additional \$39.9 million in FY 2013 to increase the effectiveness of the ATD program by focusing on greater program oversight to manage the non-detained docket in order to reduce the cycle time on ATD and associated costs. At same time, ICE will increase the number of available slots on ATD. This proposal will require a new approach and close partnership with

EOIR to focus on priority cases on the non-detained docket, with the goal of strengthening and leveraging the ATD program.

### **Non-Personnel Costs - \$27.266 million**

Coupled with the FY 2013 custody operations request, additional ATD funding will enable ICE to place lower-risk individuals on ATD, maintaining the current capacity through detention and supervision. As part of this proposal, ICE will work with EOIR on a new approach to priority aliens on ATD. Through this partnership, ICE will focus on leveraging the ATD program to increase its efficiency and making it a cost-effective method for tracking individuals who do not require detention or who have been ordered released on bond by an immigration judge.

### **Personnel Costs - \$12.637 million**

In addition to the contract support, to address alternatives to traditional detention holistically, ICE requests \$12.637 million in personnel costs for the following:

- \$9.837 million for 70 Immigration Enforcement Agents (IEAs): ICE requires IEAs to supervise aliens enrolled in ATD full service and technology-only monitoring programs
- \$2.8 million for staff administrative efforts that will overall reduce the cycle time of docket management. This effort will include reviewing alien files, tracking process during cases, and performing work like the FOSC for Fugitive Operations to ensure cases are up to date or closed as the case may be. This approach will overall make the non-detained docket management more efficient.

### **Justification**

The FY 2013 request will allow ICE to expand the ATD program while streamlining ATD operations to ensure the program is a cost-effective alternative form of detention. As Federal agencies address out-year spending constraints established in the Budget Control Act, developing lower-cost methods for monitoring and supervising low-risk aliens will be an important part of the overall strategy to drive down costs at DHS. Simultaneously, as ICE re-focuses its detention system on additional criminals identified through programs like Secure Communities, ICE detention systems and priorities will ensure that all priority individuals are held in physical detention when appropriate.

As part of this proposal, ICE will work with EOIR on a new approach to priority aliens on ATD. Through this partnership, ICE will focus on leveraging the ATD program to increase its efficiency and making it a cost-effective method for tracking individuals who do not require detention or who have been ordered released on bond by an immigration judge.

Additionally, the budget proposes administrative flexibility for the Secretary of Homeland Security to redirect funds from other ICE programs to detention to ensure all high-priority aliens, including criminals, continue to be detained.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

With this funding, ICE will achieve improved efficiency due to increased contractor support who will help review the non-detained cases in order to reduce removal period time within the non-detained docket. This reduction also reduces the time required to monitor aliens in turn providing greater capacity within existing ATD monitoring resources. This approach directly aligns with the current ATD Fiscal Year Homeland Security Priority (FYHSP) “*Number of ATD participants who are removed or returned*”.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Co-Location of ICE Facilities – A City Solution Approach  
PPA: Personnel Compensation and Benefits, Services, and Other Costs  
Program Increase: Positions 0, FTE 0, Dollars \$6,163

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	3,981
Program Increase							-	-	6,163
<b>Total Request</b>	-	-	<b>49,467</b>	-	-	<b>3,981</b>	-	-	<b>10,144</b>

**Description of Item**

ICE has developed a co-location plan to consolidate personnel and operations ICE-wide. Through this consolidation, ICE expects to enhance operational efficiencies and minimize the fiscal impact associated with the agency’s space requirements. The plan focuses on the consolidation of 367 leases within 55 cities. The space that ICE occupies in these 55 cities is approximately 4.1 million square feet (SF). The targeted locations represent 65 percent of ICE’s total 6.4 million SF leased inventory.

ICE’s co-location strategy was built primarily to mitigate rising real estate costs due to market rate escalations. When leases expire, new leases must be negotiated at current market rates. The majority of the expiring leases were negotiated 15 or more years ago. Commercial market conditions yielded rental rates on average of \$11.00 per SF at that time. Current market rental rates are at \$33.00 per SF on average, leading to a critical need to mitigate these cost pressures through consolidation and the application of smarter space management standards.

ICE has received \$109.0 million for co-location between FY 2009 and FY 2011 to fund the consolidation in 16 of the 55 cities identified in the co-location plan. No co-location funds were appropriated to ICE in FY 2012. With prior appropriations, ICE is consolidating its leased footprint in each of the 16 cities into a single location, reducing the number of leases from 57 to 16. Despite the challenge of accommodating the agency’s growth and increasing market rate rental conditions, the consolidation effort has resulted in a reduction of 74,000 SF.



ICE requests \$6.2 million in FY 2013 to continue to reduce its footprint and achieve long-term cost savings by consolidating operations and implementing more efficient space standards. This funding will allow ICE to consolidate portions of its leased footprint in Phoenix, Arizona.

## **Justification**

### *City Solution Approach*

Since 2009, ICE has implemented the consolidated leased locations within each city into a single location. As a result of this strategy, ICE has seen benefits in terms of cost savings, cost avoidance, and operational efficiencies. However, the agency has also observed some ways in which the approach to the consolidation program can be enhanced to be more responsive to the current budget environment by tailoring plans to certain cities.

Of the remaining 39 cities included in the original Co-location Plan, there are a total of 294 leased locations. According to the original plan, this would require a \$531 million investment to acquire new space. While consolidation of all ICE programs is still the focal point of this initiative, circumstances do not always make this the most feasible option economically and/or operationally. While long-term efficiencies such as rent reduction may be achieved through co-location, the up-front costs associated with acquiring and constructing new space may outweigh the long-term benefits. Sometimes a tailored *city solution* is the more fiscally responsible approach.

After factoring in local real estate conditions in a given city, a preferred acquisition solution is selected from amongst a range of alternatives. The most cost effective solution which allows the agency to meet its mission objectives is chosen. In some cases, the optimal city solution is not the consolidation of all program offices into a single location.

For example, ICE has applied this approach in Detroit where the initial co-location solution was to consolidate all program offices into a single 128,000 square foot facility. The construction costs associated with the tenant improvements for this single project would have been \$20.6 million. ICE developed an alternative plan leveraging existing space in two federally owned facilities. By renovating existing space, the agency was able to accommodate the program requirements for a total cost of \$7.4 million, avoiding \$13.2 million in construction costs and \$2 million in annual rent payments. In this case, the co-location alternative was cost prohibitive, especially when considering the numerous real property requirements across ICE's domestic operations.

Based on the success achieved in Detroit, ICE continues to look for cost effective opportunities and is currently exploring alternative solutions in Phoenix, Indianapolis, Buffalo, El Paso, El Centro, and Dallas.

### *FY 2013 Requested Funding - \$6.2 million*

\$6.2 million would allow ICE to start implementing the Phoenix, AZ co-location project with an anticipated completion timeline of one to three years. ICE will consolidate eight leases that are expiring with no renewal options, making relocation necessary. Currently, Homeland Security

Investigations staff is housed in four locations and Enforcement and Removal Operations are in two locations. This project will enable ICE to accommodate agency growth along the Southwest border and increase efficiency by reducing square footage by 66 SF per person; ICE will be able to accommodate an additional 127 positions.

The FY 2013 funds will be used to address the inefficiencies of having multiple investigative units and detention operations scattered across several locations within the same metropolitan area. The funds will be used to acquire and occupy office space in secure facilities that meet ICE mission and law enforcement requirements. Funds will be used for interior construction (“build-out” costs), voice and data cabling, furniture, fixtures, equipment, and outfitting expenses for special spaces such as holding cells and secured spaces.

This project will result in an estimated \$26 million in cost avoidance over a 10-year period.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

This initiative supports the DHS Goal #5: Strengthen and unify DHS Operations and Management as it will allow ICE to consolidate personnel and manage a cohesive workforce. The program increase will help to advance ICE co-location efforts and to realize potential savings associated with FPS security, administrative support costs, rent through shared building support spaces and shared utility costs, costs for above-standard build-out, GSA overhead, and operational efficiencies.

The ICE mission is to protect national security by enforcing our national customs and immigration laws and is the largest investigative agency in DHS. ICE has significantly expanded its workforce over the past four years to address growing and evolving requirements. The growth in personnel and increased enforcement initiatives have strained existing ICE infrastructure, but will be mitigated by the right-sizing provided by co-location.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** VTC Expansion  
PPA: ERO - Custody Operations  
Program Increase: Positions 0, FTE 0, Dollars \$7,012

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	7,012
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>7,012</b>

**Description of Item**

ICE requests \$7.0 million to expand video tele-conferencing (VTC) capabilities at 83 new locations in FY 2013.

VTC is a communication technology that permits users at two or more different locations to interact by creating a face-to-face meeting environment. VTC systems transmit bi-directional audio, video and data streams during the session. For the purposes of ICE’s mission, VTC equipment enables officers to question apprehended detainees at various locations without the agents being physically in the same location as the detainee. It also allows the immigration court proceedings to occur in one location while the Immigration Judge is in a different location.

VTC systems can either be installed within an existing structure to be stationary in nature, or manufactured to be transportable. The aggregate cost to acquire, install, calibrate, and utilize a typical VTC system is approximately \$50,000.

The ICE utilization of additional funding for VTC expansion is summarized in the table below:

Location Type	Number of Locations	Number of VTCs	Cost
Existing Detention Facilities	29	44	\$2,200,000
New Detention Facilities	4	14	\$700,000
Existing Field and Sub Offices	39	50	\$2,500,000
EOIR Locations	11	22	\$1,100,000
Maintenance Contract	-	-	\$512,000
<b>TOTAL</b>	<b>83</b>	<b>130</b>	<b>\$7,012,000</b>

Note: The average unit cost is an estimated blended rate for stationary and portable systems. Actual costs may vary.

## **Justification**

### ***Uses of Expanded Video Tele-Conferencing***

VTC will enable immigration proceedings to be conducted without the transportation of inmates from the secure confines of the correctional institutions; therefore saving travel costs and improving safety. For the immigration courts, VTC saves travel time for Immigration Judges – allowing them to adjudicate more cases – as well as ICE attorneys. VTC capability also promotes effective case management by allowing immigration judges to conduct hearings, on an ad hoc basis, for their counterparts in other immigration court locations, thereby assisting with unusually heavy caseloads in certain areas. For the respondent, VTC can provide a more expedient hearing. These efficiencies will allow immigration courts to hear more cases, contributing to ICE’s efforts to reduce the number of detainee transfers and decrease the average length of stay for detainees. Moreover, the use of VTC in removal proceedings has been critical to the success of ICE’s prosecutorial discretion initiatives.

Additionally, VTC will be used for local ICE training and communication between ICE officers and ICE attorneys with whom they consult. Legal matters such as claims to U.S. citizenship and habeas corpus actions require close consultation and coordination between ERO and the local Office of Chief Counsel (OCC). VTC will allow for direct, effective, and efficient communications between the various parties.

### ***Expansion Plan***

In FY 2013, ICE plans to expand VTC services in detention facilities that house ICE detainees, and install it at Field Offices and various locations within the Department of Justice, Executive Office for Immigration Review (EOIR) court system to promote both efficiency and collaboration with EOIR. ICE has identified the following ICE locations in need of initial VTC equipment and will have VTC installed with resources provided in this request:

#### **Existing Detention Facilities and Offices:**

Washington, DC

- Three detention facilities, Farmville, VA, Rappahannock, VA and Hampton Roads, VA

San Diego, CA

- Two detention facilities, Otay Mesa, CA and El Centro, CA
- Field office
- Sub-office at El Centro, CA

Dallas, TX

- One detention facility, Tulsa County, OK
- Field office
- Four sub-offices, Amarillo, TX, Eden, TX, Oklahoma City, OK and Tulsa, OK

Los Angeles, CA

- Two detention facilities, Adelanto, CA and Mira Loma, CA
- Three sub-offices, Santa Ana, CA, Long Beach, CA and Ventura, CA

Phoenix, AZ

- Three detention facilities, Mohave, AZ, Eloy, AZ and Florence, AZ
- Field office
- Two sub-offices, Tucson, AZ and Yuma, AZ

Baltimore, MD

- Field office

Buffalo, NY

- One detention facility, Batavia, NY
- One sub-office, Champlain, NY

Atlanta, GA

- Two detention facilities, Stewart County, GA and the Bureau of Prisons in Savannah, GA
- Field office
- Nine sub-offices, Raleigh, NC, Greensboro, NC, Charlotte, NC, Hendersonville, NC, Savannah, GA, Tallahassee, FL, Jacksonville, FL, Gadsden, AL, Nashville, TN

Miami, FL

- Field office

Houston, TX

- Field office

Philadelphia, PA

- One detention facility, York County, PA

San Antonio, CA

- Four detention facilities, South Texas, Port Isabel, TX, Bexar County, TX and Karnes, TX
- Field office
- Four sub-offices, Harlingen, TX, Waco, TX, Austin TX, and Grand Junction, TX

El Paso, TX

- Two detention facilities, El Paso, TX and DIGSA in NM
- Field office

Saint Paul, MN

- Field office

Salt Lake City, UT

- Field office

Detroit, MI

- Field office

San Francisco, CA

- Five detention facilities, Contra Costa, CA, Sacramento, CA, California City, CA, Yuba County, CA and Saipan IGSA
- Field office
- Two sub-offices, Bakersfield, CA and Fresno, CA

Newark, NJ

- Three detention facilities, Delaney Hall, NJ, Elizabeth, NJ and Essex County, NJ

New Detention Facilities: In preparation for the eventual replacement of many of the ICE-owned Service Processing Centers (SPCs), ICE plans to use some of the funding to replace capabilities currently covered by the SPCs. For planning purposes related to VTC expansion, ICE estimates two detention centers for each SPC replacement resulting in the need for four new VTC locations with the enhancement funds.

- Detroit, MI: One new detention facility
- Philadelphia, PA: Berks County new detention facility
- Chicago, IL: Two new detention facilities

EOIR Locations. In collaboration with Executive Office for Immigration Review (EOIR), ICE plans to install VTC infrastructure at 11 additional EOIR locations. These locations include:

- Atlanta, GA
- Philadelphia, PA
- Los Angeles, CA
- Lancaster, PA
- New York, NY
- Buffalo, NY
- Houston, TX
- Miami, FL
- San Diego, CA
- San Antonio, TX
- Dallas, TX

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

The VTC improvements allow greater communication between ICE and the OCCs and provide the connectivity which will facilitate greater amounts of training at substantially less cost and disruption to the ICE program.

It is anticipated that increased effective utilization of VTC technology will support ICE's ongoing efforts to lower the number of days an alien spends in detention prior to removal. This is measured in the ICE strategic performance measure *Average Length of Stay (ALOS)* in detention.

VTC will contribute to an overall shortening of the time it takes to remove an alien from this country while also reducing the overall cost of detention and removal.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 4:** Transfer of US-VISIT  
PPA: Domestic Investigations  
Program Increase: Positions 78, FTE 78, Dollars \$17,610

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							78	78	17,610
<b>Total Request</b>	-	-	-	-	-	-	<b>78</b>	<b>78</b>	<b>17,610</b>

**Description of Item**

The FY 2013 budget request includes an increase of \$17.6 million for the transfer of the overstay analysis functions of the US-VISIT program from the National Protections and Programs Directorate (NPPD) to ICE. This transfer will allow DHS to realize operational efficiencies by consolidating US-VISIT analytical operations with ICE’s overstay enforcement mission. After the transfer is complete, previously independent overstay analysis functions and overstay investigative functions will both be managed by ICE’s Homeland Security Investigations (HSI), increasing both the effectiveness and efficiency of overstay enforcement operations.

The transfer includes \$11.029 million for 78 US-VISIT Overstay Analysts and the associated costs such as rent and utilities, plus \$6.581 million for contract support and the costs of providing office space and equipment for the contract staff.

**Justification**

Through its use of biometrics, US-VISIT collects, stores and shares digital finger scans and digital photographs for subsequent verification. This biometric information is paired with biographic information and used to establish and verify an individual’s identity, as well as to match that identity against criminal and immigration violator watch lists. US-VISIT Overstay Analysts work with this data to identify and verify overstay violators. Lookout records are created for overstay violators and persons of interest with known immigration violations or criminal records.



Travelers who have exceeded their periods of admission and remain in the United States are referred to as in-country overstays. Identifications of in-country overstays result in referrals to ICE as lead recommendations. ICE then undertakes an overstay investigation for law enforcement action. Combining these functions under HSI will allow for improved coordination of overstay analysis with the investigative work that HSI already performs.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Transferring the overstay analysis work from US-VISIT to ICE will allow for seamless coordination of efforts to identify potential overstays and investigations by ICE field operations to locate and remove aliens who have overstayed their visas. This coordination will improve the overall outcome of the program.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Realignment and Reduction of 287(g)  
PPA: Personnel Compensation and Benefits, Service, and Other Costs  
ERO - Custody Operations  
Headquarters Managed IT Investment  
Legal Proceedings  
Domestic Investigations  
Program Decrease: Positions (24), FTE (24), Dollars \$(17,000)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	68,321
Program Decrease							(24)	(24)	(17,000)
<b>Total Request</b>	-	-	<b>68,321</b>	-	-	<b>68,321</b>	<b>(24)</b>	<b>(24)</b>	<b>51,321</b>

**Description of Item**

The Budget reduces the 287(g) program by \$17.0 million since Secure Communities will reach nationwide deployment in FY 2013. The Secure Communities screening process is more consistent, efficient and cost effective in identifying and removing criminal and other priority aliens. To implement this reduction in 2013, ICE will begin by discontinuing the least productive 287(g) task force agreements in those jurisdictions where Secure Communities is already in place and will also suspend consideration of any requests for new 287(g) task forces.

**Personnel Costs**

- \$3.75M to reduce legal, acquisitions, investigations, enforcement and outreach staff:
  - Office of the Principal Legal Advisor – (-2 FTEs) -\$0.34M
  - Office of Acquisition (OAQ) – (-1 FTE) -\$0.11M
  - Homeland Security Investigations (HSI) – (-8 FTEs) -\$1.5M
  - Enforcement and Removal Operations (ERO) – Deportation Officers– (-7 FTEs) - \$0.8M
  - Office of State and Local Coordination (OSLTC) – (-3 FTEs) -\$0.5M
  - Office of Professional Responsibility (OPR) – (-3 FTE) - \$0.5M

## Non-Personnel Costs

- \$13.25M in reductions will include the following general expenses:
  - 287(g) Program Management Office: -\$7.68M for basic and refresher training for the state and local law enforcement officers, travel, PCS, and other administrative costs
  - Office of Professional Responsibility (OPR): -\$0.24 for travel for compliance reviews
  - Office of the Chief Information Officer (OCIO): -\$2.99M for IT connectivity and maintenance services
  - Office of State and Local Coordination (OSLTC): - \$0.79M for travel and costs associated with outreach and communications
  - Homeland Security Investigations (HSI):- \$1.55M for travel, vehicles and equipment, and other administrative costs

## Funds Realignment and Reduction by PPA

The reductions above reflect reductions to the functional areas of operations. The PPA distribution for FY 2013 will reflect the proper alignment of responsibility that has shifted, e.g., overall management of the program now officially resides in the Office of Enforcement and Removal Operations instead of the Office of the Assistant Secretary or HSI. IT funds will now be directly appropriated to OCIO instead of the 287(g) Program Management Office.

PPA	FY 2012 Appropriated Totals	New FY 2013 Appropriated Totals
Office of the Assistant Secretary (OAS)	\$ 9,858,000	\$ 1,744,233
Office of the Chief Financial Officer (OCFO)	\$ 261,000	\$ -
Office of Acquisition (OAQ)	\$ 768,000	\$ 658,000
Office of Professional Responsibility (OPR)	\$ 5,842,000	\$ 5,364,000
Office of the Principal Legal Advisor (OPLA)	\$ 638,000	\$ 303,000
Office of the Chief Information Officer (OCIO)	\$ 3,670,000	\$ 8,175,273
Homeland Security Investigations (HSI)	\$ 29,085,000	\$ 8,483,000
Enforcement and Removal Operations (ERO) - Custody	\$ 18,199,000	\$ 26,593,494
<b>TOTAL</b>	<b>\$ 68,321,000</b>	<b>\$ 51,321,000</b>

## Justification

Given the nationwide deployment of the Secure Communities interoperability system by the end of FY2013, it will no longer be necessary to maintain the more costly and less effective 287(g) program.

## Impact on Performance (Relationship of Decrease to Strategic Goals)

Secure Communities deployments have increased criminal alien identifications and removals by 89 percent since 2009. Discontinuing low performing 287(g) agreements will not negatively impact ICE's enforcement efforts.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** OPLA Reduction  
PPA: Legal Proceedings  
Program Decrease: Positions 0, FTE 0, Dollars \$(5,000)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							1,272	1,439	212,580
Program Decrease							(2)	(2)	(5,000)
<b>Total Request</b>	<b>1,213</b>	<b>1,297</b>	<b>221,040</b>	<b>1,272</b>	<b>1,447</b>	<b>215,935</b>	<b>1,270</b>	<b>1,437</b>	<b>207,580</b>

**Description of Item**

ICE’s Office of the Principal Legal Advisor (OPLA) provides the legal representation, advice, training, and services required to support the ICE mission. As the legal representative for the U.S. Government during immigration court hearings, OPLA attorneys handle a variety of immigration-related issues that range from contested removals to custody determinations to applications for protection or relief from removal. Many of the hearings involve criminal aliens, while others involve terrorists and human rights abusers. Additionally, OPLA provides critical legal support to ICE operations concerning criminal immigration and customs law violations, ethics, employment law, tort claims, and administrative law issues.

In FY 2013, OPLA will reduce non-mission critical spending \$5.0 million by streamlining staffing support, and capitalizing on programmatic efficiencies.

**Justification**

In FY 2013 ICE will continue to make the identification and removal of criminal aliens and other priority individuals a high priority, but will reduce operating costs of OPLA by \$5.0 million to account for cost savings generated through initiatives that are currently underway. ICE will realize cost savings from the following initiatives:

- Deployment of New Case Management System – ICE will achieve full operational capability of its new case management system in FY 2013. The new case management system will improve litigation management by providing more accurate and timely information, and will allow ICE to streamline staff support as the need for additional case management support will be reduced; and
- Increased Video Conferencing – ICE will reduce OPLA operational travel by increasing the use of video conferencing. ICE has requested \$7.0 million in FY 2013 for VTC expansion, which will help OPLA achieve this reduction.

Savings will also be realized as ICE continues to work with DOJ to implement monthly work group meetings. These DHS-EOIR Docket Efficiency Working Group meetings will improve docket scheduling and create other efficiencies in immigration court with the goal of increasing the number of cases handled and the quality of the decisions rendered. ICE will also continue to work with DOJ and U.S. Citizenship and Immigration Services (USCIS) to implement procedures to promptly identify each case where an alien's removal proceedings should be dismissed to allow the alien to pursue bona fide immigration relief avenues before USCIS rather than through the EOIR hearing process.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The initiatives outlined above to achieve a \$5.0 million reduction in funding to OPLA will enable attorneys and legal staff to maintain current performance levels. ICE will continue to make the identification and removal of criminal aliens a high priority.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 3:** Reduction in Detention Beds to 32,800  
PPA: ERO - Custody Operations  
Program Decrease: Positions 0, FTE 0, Dollars \$(53,436)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	1,514,020
Program Decrease							-	-	(53,436)
<b>Total Request</b>	-	-	<b>1,456,825</b>	-	-	<b>1,514,020</b>	-	-	<b>1,460,584</b>

**Description of Item**

The Budget reduces ICE detention capacity to 32,800 detention beds. ICE will prioritize the detention of criminal aliens and those who fall into other priority categories including repeat immigration law violators, recent border entrants and immigration fugitives in FY 2013. As ICE continues to focus on criminal and other priority cases, the agency also anticipates reducing the time removable aliens spend in detention custody.

While shifting some resources to Alternatives to Detention to ensure the most cost effective use of Federal resources, the Budget proposes flexibility to reallocate funding as needed to detain all high-risk aliens apprehended by ICE. Consistent with its stated enforcement priorities and recent policy guidance, ICE will continue to focus detention and removal resources on those individuals who have criminal convictions or fall under other priority categories. At the same time, ICE will enhance the effectiveness of Alternative to Detention for low risk individuals, monitoring them at a lower per day cost than detention.

The FY 2013 budget request reflects an average bed rate at a rate of \$122.00 per day that has been held constant from FY 2012 due to ICE’s concerted effort to make detention and removal practices more efficient. ICE is planning on offsetting increases in detention contract and healthcare costs by maximizing the use of contracts with guaranteed minimums which provide reduced or free beds after occupying the minimum number of beds on the contract.

The FY 2013 bed rate does not include the potential impact of Department of Labor (DOL) service contract rate adjustments. Beginning in FY 2012, ICE may face increased annual costs due to a change

from a sole-source wage determination to an area-wide wage rate for the 13 largest IGSA's where 100 percent of the work is sub-contracted out. Such wage rate adjustments have not yet been determined by DOL.

### **Justification**

The reduction of \$53.436 million in FY 2013 is based on funding 32,800 beds at a rate of \$122.00 per day.

The reduction in beds has been made in coordination with expansion of the ATD program in FY 2013. The ATD program uses technology such as ankle bracelets and parole-like supervision to track aliens who have been accused of immigration violations. ICE will continue to focus its use of detention beds on those individuals who have criminal convictions or fall under other priority categories. While recognizing that not all aliens apprehended by ICE require a detention bed, the Administration believes that alternate forms of detention such as electronic monitoring and supervision can be just as effective as traditional detention.

In order to ensure there are sufficient resources to detain high-risk aliens, the budget proposes flexibility to transfer funding between immigration detention and ATD. Consistent with its stated enforcement priorities and recent policy guidance, ICE will continue to detain aliens that fall into ICE's civil enforcement priorities or are subject to mandatory detention by statute, while shifting lower-risk aliens into the ATD program.

### **Impact on Performance (Relationship of Decrease to Strategic Goals)**

ICE prioritizes its resources by focusing on those aliens who pose the greatest risk to public safety and national security and who pose a threat to border security or the integrity of the immigration court system. ICE will detain aliens that fall into ICE's civil enforcement priorities or are subject to mandatory detention by statute, while shifting lower-risk aliens into the ATD program. This change will support the efforts to increase the number of criminal aliens who are removed from the United States by focusing physical detention resources on criminal and other high-risk aliens.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 4:** Secure Communities Reduction  
PPA: Comprehensive Identification and Removal of Criminal Aliens  
Program Decrease: Positions 0, FTE 0, Dollars \$(40,794)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							782	727	179,507
Program Decrease							-	-	(40,794)
<b>Total Request</b>	<b>552</b>	<b>553</b>	<b>199,600</b>	<b>782</b>	<b>619</b>	<b>189,064</b>	<b>782</b>	<b>727</b>	<b>138,713</b>

**Description of Item**

The FY 2013 budget request includes a reduction of \$40.794 million for the Secure Communities program based on planned nationwide deployment in FY 2013. According to the current Secure Communities roll-out plan, ICE will complete nationwide activation of the Secure Communities initiative in 2013 when the remaining 11 percent of jurisdictions deploy interoperability. Completion of the plan in FY 2013 will allow ICE to reduce expenditures for equipment and services by \$40.794 million in comparison to the FY 2012 enacted amount.

ICE will maintain payroll support for law enforcement and mission support personnel who support criminal alien enforcement, and will also continue support of the ACRIME, Automated Threat Prioritization, and Status Determination Support IT systems.

**Justification**

The reduction of \$40.794 million in FY 2013 is based on the planned deployment schedule and reflects the reduced need in FY 2013 for equipment and services to support the program.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The Office of Enforcement and Removal Operations program promotes DHS strategic objective 3.2.4 of the DHS Strategic Plan “Prevent unlawful immigration” and is aligned to the ICE Strategic Plan Goal 3.3 – “Prosecute and remove criminals and gang members.”



ICE plans to meet the current deployment goals and performance targets in FY 2013. This includes rollout in FY 2013 to the remaining 339 communities to reach 100 percent coverage of jurisdictions in the current Secure Communities plan. The requested funding supports the goal of nationwide deployment.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

*For necessary expenses [for enforcement of immigration and customs laws, detention and removals, and investigations] to conduct investigations of criminal violations of Federal law relating to border security, customs and trade, immigration and naturalization, intellectual property rights, and travel and transportation, including overseas vetted units operations; and purchase and lease of up to 3,790 (2,350 for replacement only) police-type vehicles; [\$5,528,874,000]\$5,296,692,000; of which not to exceed \$10,000,000 shall be available until expended for conducting special operations under section 3131 of the Customs Enforcement Act of 1986 (19 U.S.C. 2081); of which not to exceed \$12,750 shall be for official reception and representation expenses; of which not to exceed \$2,000,000 shall be for awards of compensation to informants, to be accounted for solely under the certificate of the Secretary of Homeland Security; of which not less than \$305,000 shall be for promotion of public awareness of the child pornography tipline and activities to counter child exploitation; of which not less than \$5,400,000 shall be used to facilitate agreements consistent with section 287(g) of the Immigration and Nationality Act (8 U.S.C. 1357(g)); and of which not to exceed \$11,216,000 shall be available to fund or reimburse other Federal agencies for the costs associated with the care, maintenance, and repatriation of smuggled aliens unlawfully present in the United States: Provided, That none of the funds made available under this heading shall be available to compensate any employee for overtime in an annual amount in excess of \$35,000, except that the Secretary of Homeland Security, or the designee of the Secretary, may waive that amount as necessary for national security purposes and in cases of immigration emergencies: Provided further, That of the total amount provided, \$15,770,000 shall be for activities to enforce laws against forced child labor, of which not to exceed \$6,000,000 shall remain available until expended: Provided further, That of the total amount available, not less than \$1,600,000,000 shall be available to identify aliens convicted of a crime who may be deportable, and to remove them from the United States once they are judged deportable, of which [\$189,064,000]\$138,713,000 shall remain available until September 30, [2013]2014: Provided further, That the Assistant Secretary of Homeland Security for U.S. Immigration and Customs Enforcement shall report to the Committees on Appropriations of the Senate and the House of Representatives, not later than 45 days after the end of each quarter of the fiscal year, on progress in implementing the preceding proviso and the funds obligated during that quarter to make such progress: Provided further, That the Secretary of Homeland Security shall prioritize the identification and removal of aliens convicted of a crime by the severity of that crime: [Provided further, That funding made available under this heading shall maintain a level of not less than 34,000 detention beds through September 30, 2012:] Provided further, That of the total amount provided, not less than [\$2,750,843,000]\$2,666,192,000 is for [detention]enforcement and removal operations, including transportation of unaccompanied minor aliens: Provided further, That of the total amount provided, \$10,300,000 shall remain available until September 30, [2013]2014, for the Visa Security Program: Provided further, That not less than \$10,000,000 shall be available for investigation of intellectual property rights violations, including the National Intellectual Property Rights Coordination Center: Provided further, That none of the funds provided under this heading may be used to continue a delegation of law enforcement authority authorized under section 287(g) of the Immigration and Nationality Act (8 U.S.C. 1357(g)) if the Department of Homeland Security Inspector General determines that the terms of the agreement governing the delegation of authority have been violated: Provided further, That none of the funds provided under this heading may be used to continue any contract for the provision of detention services if the two most recent overall performance evaluations*

*received by the contracted facility are less than "adequate" or the equivalent median score in any subsequent performance evaluation system: Provided further, That pursuant to section 503 of this Act, the Secretary may propose to reprogram funds necessary to ensure the detention of aliens prioritized for removal: Provided further, That of the total amount provided, up to \$5,000,000 may be transferred to the Department of Justice, Executive Office of Immigration Review, to increase the efficiency of the immigration court process: Provided further, That nothing under this heading shall prevent U.S. Immigration and Customs Enforcement from exercising those authorities provided under immigration laws (as defined in section 101(a)(17) of the Immigration and Nationality Act (8 U.S.C. 1101(a)(17))) during priority operations pertaining to aliens convicted of a crime.(Department of Homeland Security Appropriations Act, 2012.)*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>20,142</b>	<b>19,642</b>	<b>5,392,835</b>
<b>FY 2012 Enacted Budget Authority<sup>5</sup></b>	<b>21,634</b>	<b>19,982</b>	<b>5,528,874</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer of US VISIT	78	78	17,610
<b>Total, Transfers</b>	<b>78</b>	<b>78</b>	<b>17,610</b>
<b>Increases</b>	-	-	-
2013 pay increase	-	-	14,083
Annualization of prior year funding	-	118	15,300
GSA Rent	-	-	22,380
<b>Total, Increases</b>	<b>-</b>	<b>118</b>	<b>51,763</b>
<b>Decreases</b>	-	-	-
Administrative Savings	-	-	(89,539)
Attrition of Mission Support FTE	-	(193)	(38,573)
ERO Right Sizing	-	-	(11,762)
Enterprise Wide Efficiencies	-	-	(68,329)
IT Infrastructure Reduction	-	-	(29,400)
Termination of one-time costs	-	-	(800)
<b>Total, Decreases</b>	<b>-</b>	<b>(193)</b>	<b>(238,403)</b>
<b>Total, Adjustments-to-Base</b>	<b>78</b>	<b>3</b>	<b>(169,030)</b>
<b>FY 2013 Current Services</b>	<b>21,712</b>	<b>19,985</b>	<b>5,359,844</b>
<b>Program Changes</b>			
<b>Increases</b>	-	-	-
ATD Expansion	70	35	39,903
Co-Location of ICE Facilities - A City Solution Approach	-	-	6,163
VTC Expansion	-	-	7,012
<b>Total, Increases</b>	<b>70</b>	<b>35</b>	<b>53,078</b>
<b>Decreases</b>	-	-	-
OPLA Reduction	-	-	(5,000)
Realignment and Reduction of 287(g)	(24)	(24)	(17,000)
Reduction in Detention Beds to 32,800	-	-	(53,436)
Secure Communities Reduction	-	-	(40,794)
<b>Total, Decreases</b>	<b>(24)</b>	<b>(24)</b>	<b>(116,230)</b>
<b>Total, Program Changes</b>	<b>46</b>	<b>11</b>	<b>(63,152)</b>
<b>FY 2013 Requested Budget Authority</b>	<b>21,758</b>	<b>19,996</b>	<b>5,296,692</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>124</b>	<b>14</b>	<b>(232,182)</b>

In FY 2012, 71 positions and 62 FTE were transferred into the Salaries and Expenses appropriation from Automation Modernization (36 positions, 36 FTE), Breached Bond Detention Fund (13 positions, 0 FTE), and Immigration Inspection User Fees (22 positions, 26 FTE).

<sup>5</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$10 million, pursuant to P.L. 112-74.

## C. Summary of Requirements

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Summary of Requirements**  
(Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	20,142	19,642	5,392,835
<b>FY 2012 Enacted Budget Authority<sup>6</sup></b>	21,634	19,982	5,528,874
<b>Adjustments-to-Base</b>	-	-	-
Transfers	78	78	17,610
Increases	-	118	51,763
Decreases	-	(193)	(238,403)
<b>Total, Adjustments-to-Base</b>	78	3	(169,030)
<b>FY 2013 Current Services</b>	21,712	19,985	5,359,844
<b>Program Changes</b>	-	-	-
Increases	70	35	53,078
Decreases	(24)	(24)	(116,230)
<b>Total, Program Changes</b>	46	11	(63,152)
<b>FY 2013 Requested Budget Authority</b>	21,758	19,996	5,296,692
<b>FY 2012 to FY 2013 Total Change</b>	124	14	(232,182)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Personnel Compensation and Benefits, Service, and Other Costs	1,827	1,731	233,251	-	(8)	(10,329)	(7)	(7)	(2,800)	1,820	1,716	220,122	(7)	(15)	(13,129)
Headquarters Managed IT Investment	348	356	184,227	-	(6)	(31,544)	-	-	4,505	348	350	157,188	-	(6)	(27,039)
Legal Proceedings	1,272	1,447	215,935	-	(8)	(3,020)	(2)	(2)	(5,335)	1,270	1,437	207,580	(2)	(10)	(8,355)
Domestic Investigations	8,671	8,194	1,725,234	78	17	(32,106)	(8)	(8)	(20,602)	8,741	8,203	1,672,526	70	9	(52,708)
International Investigations	320	281	114,928	-	(3)	(4,558)	-	-	-	320	278	110,370	-	(3)	(4,558)

<sup>6</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of 10 million, pursuant to P.L. 112-74.

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Visa Security Program	80	62	33,889	-	2	(1,273)	-	-	-	80	64	32,616	-	2	(1,273)
Intelligence	453	386	81,503	-	(3)	(2,755)	-	-	-	453	383	78,748	-	(3)	(2,755)
ERO - Custody Operations	5,203	4,585	2,050,545	-	(72)	(53,153)	(7)	(7)	(38,029)	5,196	4,506	1,959,363	(7)	(79)	(91,182)
ERO - Fugitive Operations	788	700	154,597	-	(5)	(21,672)	-	-	-	788	695	132,925	-	(5)	(21,672)
ERO - Criminal Alien Program	1,627	1,376	196,696	-	(7)	20,028	-	-	-	1,627	1,369	216,724	-	(7)	20,028
ERO - Alternatives to Detention	204	186	72,373	-	(2)	(686)	70	35	39,903	274	219	111,590	70	33	39,217
ERO - Transportation and Removal Program	59	59	276,632	-	(10)	(18,405)	-	-	-	59	49	258,227	-	(10)	(18,405)
Comprehensive Identification and Removal of Criminal Aliens	782	619	189,064	-	108	(9,557)	-	-	(40,794)	782	727	138,713	-	108	(50,351)
<b>Total</b>	<b>21,634</b>	<b>19,982</b>	<b>5,528,874</b>	<b>78</b>	<b>3</b>	<b>(169,030)</b>	<b>46</b>	<b>11</b>	<b>(63,152)</b>	<b>21,758</b>	<b>19,996</b>	<b>5,296,692</b>	<b>124</b>	<b>14</b>	<b>(232,182)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Summary of Reimbursable Resources**  
(Dollars in Thousands)

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
CIA	-	-	175	-	-	321	-	-	321	-	-	-
Department of Army (CSEPP)	-	-	1,672	-	-	2,853	-	-	2,853	-	-	-
Department of Defense	-	-	1,121	-	-	1,923	-	-	1,924	-	-	1
Department of Homeland Security	98	98	26,044	98	98	41,745	78	78	41,747	(20)	(20)	2
Department of Justice	-	-	11,602	-	-	20,042	-	-	20,043	-	-	1
Department of State	-	-	9,370	-	-	14,867	-	-	14,835	-	-	(32)
Department of Treasury	46	46	52,543	46	46	85,153	46	46	85,155	-	-	2
FBI	-	-	61	-	-	98	-	-	109	-	-	11
FEMA	-	-	89	-	-	143	-	-	146	-	-	3
Federal Law Enforcement Training Center	-	-	9	-	-	32	-	-	32	-	-	-
National Protection and Program Directorate (NPPD)	-	-	14,772	-	-	23,683	-	-	23,683	-	-	-
Transportation Security Administration	-	-	37	-	-	200	-	-	200	-	-	-
U.S. Citizenship and Immigration Services	-	-	3,171	-	-	5,249	-	-	5,258	-	-	9
U.S. Customs and Border Protection	145	145	60,542	145	145	103,378	145	145	103,381	-	-	3
US Coast Guard	-	-	126	-	-	218	-	-	218	-	-	-
US VISIT	-	-	59	-	-	95	-	-	95	-	-	-
<b>Total Budgetary Resources</b>	<b>289</b>	<b>289</b>	<b>181,393</b>	<b>289</b>	<b>289</b>	<b>300,000</b>	<b>269</b>	<b>269</b>	<b>300,000</b>	<b>(20)</b>	<b>(20)</b>	<b>-</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
ERO - Custody Operations	-	-	11,602	-	-	20,042	-	-	20,035	-	-	(7)
Domestic Investigations	191	191	85,620	191	191	139,531	191	191	139,535	-	-	4
International Investigations	-	-	9,627	-	-	15,431	-	-	15,431	-	-	-
Personnel Compensation and Benefits, Service, and Other Costs	98	98	74,544	98	98	124,996	78	78	124,999	(20)	(20)	3
<b>Total Obligations</b>	<b>289</b>	<b>289</b>	<b>181,393</b>	<b>289</b>	<b>289</b>	<b>300,000</b>	<b>269</b>	<b>269</b>	<b>300,000</b>	<b>(20)</b>	<b>(20)</b>	<b>-</b>

## E. Summary of Requirements by Object Class

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,577,683	1,678,587	1,722,783	44,196
11.3 Other than full-time permanent	35,561	21,221	18,931	(2,290)
11.5 Other personnel compensation	322,094	332,664	339,162	6,498
11.8 Special Service Pay	242	159	159	-
12.1 Benefits	751,355	775,481	780,029	4,548
<b>Total, Personnel and Other Compensation Benefits</b>	<b>2,686,935</b>	<b>2,808,112</b>	<b>2,861,064</b>	<b>52,952</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	290,007	294,246	282,120	(12,126)
22.0 Transportation of things	9,683	8,000	7,452	(548)
23.1 GSA rent	241,202	232,166	228,164	(4,002)
23.2 Other rent	2,772	3,251	2,975	(276)
23.3 Communications, utilities, and misc. charges	101,490	102,637	91,524	(11,113)
24.0 Printing	148	116	62	(54)
25.1 Advisory and assistance services	326,239	258,790	253,785	(43,217)
25.2 Other services	282,752	234,774	195,316	(39,458)
25.3 Purchases from Gov't accts.	98,766	59,965	38,892	(21,073)
25.4 O&M of facilities	956,269	1,134,073	1,017,267	(78,594)
25.5 R&D of contracts	694	224	184	(40)
25.6 Medical care	172,760	165,731	159,565	(6,166)
25.7 Operation and maintenance of equipment	40,811	55,765	45,838	(9,927)
25.8 Subsistence & Support of persons	105	108	114	6
26.0 Supplies and materials	77,905	59,934	49,402	(10,532)
31.0 Equipment	92,919	102,927	57,253	(45,674)
32.0 Land & structures	13	-	-	-
41.0 Grants/Subsidies/Contributions	305	305	307	2
42.0 Insurance Claims and Indemnity	4,296	3,473	3,628	155
91.0 Unvouchered	6,764	4,277	1,780	(2,497)
<b>Total, Other Object Classes</b>	<b>2,705,900</b>	<b>2,720,762</b>	<b>2,435,628</b>	<b>(285,134)</b>
<b>Total, Direct Obligations</b>	<b>5,392,835</b>	<b>5,528,874</b>	<b>5,296,692</b>	<b>(232,182)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	342	500	673	173
Unobligated balance, start of year	379	342	500	158
Recoveries of Prior Year Obligations	26	-	-	-
<b>Total Requirements</b>	<b>5,392,835</b>	<b>5,528,874</b>	<b>5,296,692</b>	<b>(232,182)</b>
<b>Full Time Equivalents</b>	<b>19,642</b>	<b>19,982</b>	<b>19,996</b>	<b>14</b>



## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Salaries and Expenses  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	72	74	74	-
Total, EX	1	1	1	-
GS-15	1,010	1,033	1,034	1
GS-14	3,046	3,086	3,084	(2)
GS-13	5,410	5,551	5,586	35
GS-12	2,605	2,686	2,722	36
GS-11	1,504	1,667	1,678	11
GS-10	41	40	40	-
GS-9	3,808	3,794	3,799	5
GS-8	69	127	127	-
GS-7	1,880	1,994	2,010	16
GS-6	127	114	114	-
GS-5	379	1,198	1,219	21
GS-4	133	200	200	-
GS-3	31	36	36	-
GS-2	23	24	25	1
Other Graded Positions	3	9	9	-
<b>Total Permanent Positions</b>	<b>20,142</b>	<b>21,634</b>	<b>21,758</b>	<b>124</b>
Unfilled Positions EOY	454	1,452	1,514	62
Total Permanent Employment EOY	-	-	-	-
Headquarters	2,380	1,801	1,816	15
U.S. Field	17,211	19,252	19,361	109
Foreign Field	551	581	581	-
<b>Total, Salaries and Expenses</b>	<b>20,142</b>	<b>21,634</b>	<b>21,758</b>	<b>124</b>
<b>Full Time Equivalents</b>	<b>19,642</b>	<b>19,982</b>	<b>19,996</b>	<b>14</b>
Average ES Salary	179,700	179,700	179,700	-
Average GS Salary	103,904	100,904	100,904	-
Average Grade	13	13	13	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Personnel Compensation and Benefits, Service, and Other Costs**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	98,580	113,891	108,953	(4,938)
11.3 Other than full-time permanent	3,268	3,031	2,876	(155)
11.5 Other personnel compensation	10,004	2,482	2,193	(289)
12.1 Benefits	36,389	38,565	36,819	(1,746)
<b>Total, Personnel and Compensation Benefits</b>	<b>148,241</b>	<b>157,969</b>	<b>150,841</b>	<b>(7,128)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,343	3,812	3,663	(149)
22.0 Transportation of things	449	460	425	(35)
23.1 GSA rent	20,786	8,819	4,115	(4,704)
23.2 Other rent	12	3	3	-
23.3 Communications, utilities, and misc. charges	6,124	7,893	7,184	(709)
24.0 Printing	64	36	41	5
25.1 Advisory and assistance services	26,457	11,196	13,477	2,281
25.2 Other services	21,851	19,682	17,149	(2,533)
25.3 Purchases from Gov't accts.	50,553	14,532	14,545	13
25.4 O&M of facilities	1,074	647	500	(147)
25.5 R&D of contracts	694	224	184	(40)
25.7 Operation and maintenance of equipment	3,679	2,537	2,380	(157)
26.0 Supplies and materials	3,539	2,851	2,835	(16)
31.0 Equipment	3,741	2,539	2,729	190
32.0 Land & structures	1	-	-	-
42.0 Insurance Claims and Indemnity	3	3	3	-
91.0 Unvouchered	(576)	48	48	-
<b>Total, Other Object Classes</b>	<b>142,794</b>	<b>75,282</b>	<b>69,281</b>	<b>(6,001)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>291,035</b>	<b>233,251</b>	<b>220,122</b>	<b>(13,129)</b>
<b>Full Time Equivalents</b>	<b>1,589</b>	<b>1,731</b>	<b>1,716</b>	<b>(15)</b>

### Personnel Compensation and Benefits, Service, and Other Costs Mission Statement

ICE Management and Administration (M&A) resources provide for top-level agency-wide management in the following areas: the Offices of the Assistant Secretary (OAS), Professional Responsibility (OPR), the Chief Financial Officer (OCFO), the Office of Acquisition Management (OAQ). The M&A activities include executive and overall leadership direction, strategic planning, policy development, and administrative support for the human, financial, information, and physical resources required to facilitate the

operational capabilities of a productive ICE workforce.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	98,580	113,891	108,953	(4,938)
11.3 Other than full-time permanent	3,268	3,031	2,876	(155)
11.5 Other personnel compensation	10,004	2,482	2,193	(289)
12.1 Benefits	36,389	38,565	36,819	(1,746)
<b>Total, Salaries &amp; Benefits</b>	<b>148,241</b>	<b>157,969</b>	<b>150,841</b>	<b>(7,128)</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$4,343</b>	<b>\$3,812</b>	<b>\$3,663</b>	<b>-\$149</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$449</b>	<b>\$460</b>	<b>\$425</b>	<b>-\$35</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$20,786</b>	<b>\$8,819</b>	<b>\$4,115</b>	<b>-\$4,704</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$6,124</b>	<b>\$7,893</b>	<b>\$7,184</b>	<b>-\$709</b>

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$64</b>	<b>\$36</b>	<b>\$41</b>	<b>\$5</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$26,457	\$11,196	\$13,477	\$2,281

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$21,851	\$19,682	\$17,149	-\$2,533

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$50,553	\$14,532	\$14,545	\$13

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$1,074	\$647	\$500	-\$147

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 R&D of contracts	\$694	\$224	\$184	-\$40

Research and development includes costs for contracts for the conduct of basic and applied research and development.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$3,679	\$2,537	\$2,380	-\$157

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$3,539	\$2,851	\$2,835	-\$16

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$3,741</b>	<b>\$2,539</b>	<b>\$2,729</b>	<b>\$190</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Headquarters Managed IT Investment**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	37,796	42,252	42,332	80
11.3 Other than full-time permanent	178	76	76	-
11.5 Other personnel compensation	1,150	1,658	1,658	-
12.1 Benefits	10,627	12,012	12,012	-
<b>Total, Personnel and Compensation Benefits</b>	<b>49,751</b>	<b>55,998</b>	<b>56,078</b>	<b>80</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,364	2,366	1,866	(500)
22.0 Transportation of things	116	67	53	(14)
23.1 GSA rent	3,585	-	-	-
23.2 Other rent	1,614	1,033	815	(218)
23.3 Communications, utilities, and misc. charges	2,988	2,845	2,243	(602)
24.0 Printing	2	-	-	-
25.1 Advisory and assistance services	110,095	94,700	74,672	(20,028)
25.2 Other services	6,581	1,866	1,471	(395)
25.3 Purchases from Gov't accts.	336	-	-	-
25.4 O&M of facilities	4,702	773	610	(163)
25.6 Medical care	2,997	-	-	-
25.7 Operation and maintenance of equipment	9,658	11,634	9,173	(2,461)
26.0 Supplies and materials	625	684	539	(145)
31.0 Equipment	5,508	12,261	9,668	(2,593)
91.0 Unvouchered	5,676	-	-	-
<b>Total, Other Object Classes</b>	<b>155,847</b>	<b>128,229</b>	<b>101,110</b>	<b>(27,119)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>205,598</b>	<b>184,227</b>	<b>157,188</b>	<b>(27,039)</b>
<b>Full Time Equivalents</b>	<b>353</b>	<b>356</b>	<b>350</b>	<b>(6)</b>

**Headquarters Managed IT Investment Mission Statement**

The ICE Office of the Chief Information Officer (OCIO) provides information technology services and products that enable ICE and DHS to meet their mission. The OCIO is committed to providing excellent and efficient service to our customers in order to fulfill their IT needs. In order to meet these goals, the OCIO has developed a number of critical IT initiatives that will help ICE to modernize its IT systems, adapt and conform to modern IT management disciplines, as well as provide IT solutions throughout ICE.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	37,796	42,252	42,332	80
11.3 Other than full-time permanent	178	76	76	-
11.5 Other personnel compensation	1,150	1,658	1,658	-
12.1 Benefits	10,627	12,012	12,012	-
<b>Total, Salaries &amp; Benefits</b>	<b>49,751</b>	<b>55,998</b>	<b>56,078</b>	<b>80</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,364</b>	<b>\$2,366</b>	<b>\$1,866</b>	<b>-\$500</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$116</b>	<b>\$67</b>	<b>\$53</b>	<b>-\$14</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$1,614</b>	<b>\$1,033</b>	<b>\$815</b>	<b>-\$218</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$2,988</b>	<b>\$2,845</b>	<b>\$2,243</b>	<b>-\$602</b>

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$110,095	\$94,700	\$74,672	-\$20,028

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$6,581	\$1,866	\$1,471	-\$395

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$4,702	\$773	\$610	-\$163

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$9,658	\$11,634	\$9,173	-\$2,461

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$625	\$684	\$539	-\$145

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$5,508	\$12,261	\$9,668	-\$2,593

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Legal Proceedings**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	123,270	125,948	121,384	(4,564)
11.3 Other than full-time permanent	5,554	5,513	5,199	(314)
11.5 Other personnel compensation	1,540	1,529	1,442	(87)
12.1 Benefits	37,346	37,393	35,266	(2,127)
<b>Total, Personnel and Compensation Benefits</b>	<b>167,710</b>	<b>170,383</b>	<b>163,291</b>	<b>(7,092)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,683	2,141	2,053	(88)
22.0 Transportation of things	653	569	545	(24)
23.1 GSA rent	11,025	12,774	12,247	(527)
23.2 Other rent	2	104	100	(4)
23.3 Communications, utilities, and misc. charges	5,465	3,120	2,992	(128)
24.0 Printing	7	-	-	-
25.1 Advisory and assistance services	11,633	9,689	9,903	214
25.2 Other services	9,356	7,356	7,053	(303)
25.3 Purchases from Gov't accts.	8,404	6,402	6,140	(262)
25.4 O&M of facilities	1,400	700	671	(29)
25.7 Operation and maintenance of equipment	703	904	866	(38)
26.0 Supplies and materials	1,209	805	771	(34)
31.0 Equipment	756	963	923	(40)
42.0 Insurance Claims and Indemnity	62	25	25	-
91.0 Unvouchered	(28)	-	-	-
<b>Total, Other Object Classes</b>	<b>53,330</b>	<b>45,552</b>	<b>44,289</b>	<b>(1,263)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>221,040</b>	<b>215,935</b>	<b>207,580</b>	<b>(8,355)</b>
<b>Full Time Equivalents</b>	<b>1,297</b>	<b>1,447</b>	<b>1,437</b>	<b>(10)</b>

**Legal Proceedings Mission Statement**

ICE Legal Proceedings (also referred to as the Office of the Principal Legal Advisor or OPLA) provides the legal advice, training, and services required to support the ICE mission while defending the immigration laws of the U. S. in the administrative and federal courts and is the legal representative for ICE. OPLA is the DHS legal component within ICE that is authorized to represent the Government in immigration proceedings that end up in immigration courts.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	123,270	125,948	121,384	(4,564)
11.3 Other than full-time permanent	5,554	5,513	5,199	(314)
11.5 Other personnel compensation	1,540	1,529	1,442	(87)
12.1 Benefits	37,346	37,393	35,266	(2,127)
<b>Total, Salaries &amp; Benefits</b>	<b>167,710</b>	<b>170,383</b>	<b>163,291</b>	<b>(7,092)</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$2,683</b>	<b>\$2,141</b>	<b>\$2,053</b>	<b>-\$88</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$653</b>	<b>\$569</b>	<b>\$545</b>	<b>-\$24</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$11,025</b>	<b>\$12,774</b>	<b>\$12,247</b>	<b>-\$527</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$2</b>	<b>\$104</b>	<b>\$100</b>	<b>-\$4</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$5,465	\$3,120	\$2,992	-\$128

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$11,633	\$9,689	\$9,903	\$214

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$9,356	\$7,356	\$7,053	-\$303

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$8,404	\$6,402	\$6,140	-\$262

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$1,400	\$700	\$671	-\$29

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$703	\$904	\$866	-\$38

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$1,209	\$805	\$771	-\$34

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$756	\$963	\$923	-\$40

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Domestic Investigations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	718,777	742,394	765,291	22,897
11.3 Other than full-time permanent	8,527	8,513	6,668	(1,845)
11.5 Other personnel compensation	152,427	156,645	162,909	6,264
12.1 Benefits	351,707	358,613	361,066	2,453
<b>Total, Personnel and Compensation Benefits</b>	<b>1,231,438</b>	<b>1,266,165</b>	<b>1,295,934</b>	<b>29,769</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	23,310	23,777	19,712	(4,065)
22.0 Transportation of things	1,813	978	734	(244)
23.1 GSA rent	115,985	122,716	125,172	2,456
23.2 Other rent	137	134	109	(25)
23.3 Communications, utilities, and misc. charges	33,425	36,465	31,319	(5,146)
24.0 Printing	71	61	2	(59)
25.1 Advisory and assistance services	54,452	51,332	46,335	(4,997)
25.2 Other services	101,899	92,368	82,167	(10,201)
25.3 Purchases from Gov't accts.	21,753	25,506	8,156	(17,350)
25.4 O&M of facilities	30,281	33,311	15,517	(17,794)
25.6 Medical care	548	582	488	(94)
25.7 Operation and maintenance of equipment	8,542	10,047	5,535	(4,512)
25.8 Subsistence & Support of persons	1	-	-	-
26.0 Supplies and materials	17,972	19,767	13,885	(5,882)
31.0 Equipment	45,676	36,898	24,810	(12,088)
32.0 Land & structures	1	-	-	-
41.0 Grants/Subsidies/Contributions	305	305	307	2
42.0 Insurance Claims and Indemnity	985	1,034	1,029	(5)
91.0 Unvouchered	1,737	3,788	1,315	(2,473)
<b>Total, Other Object Classes</b>	<b>458,893</b>	<b>459,069</b>	<b>376,592</b>	<b>(82,477)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,690,331</b>	<b>1,725,234</b>	<b>1,672,526</b>	<b>(52,708)</b>
<b>Full Time Equivalents</b>	<b>8,364</b>	<b>8,194</b>	<b>8,203</b>	<b>9</b>

**Domestic Investigations Mission Statement**

The HSI Office of Domestic Investigations' mission is to defend the Nation by enforcing trade and immigration laws through investigations that target the people, money, and materials that support terrorist and other criminal activities.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	718,777	742,394	765,291	22,897
11.3 Other than full-time permanent	8,527	8,513	6,668	(1,845)
11.5 Other personnel compensation	152,427	156,645	162,909	6,264
12.1 Benefits	351,707	358,613	361,066	2,453
<b>Total, Salaries &amp; Benefits</b>	<b>1,231,438</b>	<b>1,266,165</b>	<b>1,295,934</b>	<b>29,769</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$23,310	\$23,777	\$19,712	-\$4,065

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$1,813	\$978	\$734	-\$244

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$115,985	\$122,716	\$125,172	\$2,456

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$137	\$134	\$109	-\$25

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$33,425	\$36,465	\$31,319	-\$5,146

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$71	\$61	\$2	-\$59

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$54,452	\$51,332	\$46,335	-\$4,997

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$101,899	\$92,368	\$82,167	-\$10,201

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$21,753	\$25,506	\$8,156	-\$17,350

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$30,281	\$33,311	\$15,517	-\$17,794

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$548	\$582	\$488	-\$94

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$8,542	\$10,047	\$5,535	-\$4,512

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$17,972	\$19,767	\$13,885	-\$5,882

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$45,676	\$36,898	\$24,810	-\$12,088

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	\$305	\$305	\$307	\$2

Grants/Subsidies/Contributions include cash payments to States, other political subdivisions, corporations, individuals, associations, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>42.0 Insurance Claims and Indemnity</b>	\$985	\$1,034	\$1,029	-\$5

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>91.0 Unvouchered</b>	\$1,737	\$3,788	\$1,315	-\$2,473

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**International Investigations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	31,316	32,013	30,854	(1,159)
11.3 Other than full-time permanent	367	375	360	(15)
11.5 Other personnel compensation	6,015	6,149	5,897	(252)
11.8 Special Service Pay	(1)	-	-	-
12.1 Benefits	23,049	23,562	22,596	(966)
<b>Total, Personnel and Compensation Benefits</b>	<b>60,746</b>	<b>62,099</b>	<b>59,707</b>	<b>(2,392)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,590	4,692	4,500	(192)
22.0 Transportation of things	3,657	3,738	3,585	(153)
23.1 GSA rent	1,354	1,384	1,327	(57)
23.2 Other rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	12,790	13,075	12,539	(536)
24.0 Printing	1	1	1	-
25.1 Advisory and assistance services	2,005	2,050	1,966	(84)
25.2 Other services	23,266	23,784	22,809	(975)
25.3 Purchases from Gov't accts.	524	536	514	(22)
25.4 O&M of facilities	165	169	162	(7)
25.6 Medical care	3	3	3	-
25.7 Operation and maintenance of equipment	79	81	77	(4)
26.0 Supplies and materials	1,215	1,242	1,191	(51)
31.0 Equipment	1,658	1,695	1,625	(70)
91.0 Unvouchered	372	378	363	(15)
<b>Total, Other Object Classes</b>	<b>51,680</b>	<b>52,829</b>	<b>50,663</b>	<b>(2,166)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>112,426</b>	<b>114,928</b>	<b>110,370</b>	<b>(4,558)</b>
<b>Full Time Equivalents</b>	<b>290</b>	<b>281</b>	<b>278</b>	<b>(3)</b>

**International Investigations Mission Statement**

The HSI Office of International Investigations includes 69 offices in 47 countries. International Investigations represents the international assets of all ICE programs and collaborates with U.S. Citizenship and Immigration Services, U.S. Customs and Border Protection, and other DHS components. OIA liaises with foreign governments and international partners to facilitate the enforcement of U.S. customs and immigration laws beyond our borders in an effort to interdict criminals and prevent or disrupt criminal activity.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	31,316	32,013	30,854	(1,159)
11.3 Other than full-time permanent	367	375	360	(15)
11.5 Other personnel compensation	6,015	6,149	5,897	(252)
11.8 Special Service Pay	(1)	-	-	-
12.1 Benefits	23,049	23,562	22,596	(966)
<b>Total, Salaries &amp; Benefits</b>	<b>60,746</b>	<b>62,099</b>	<b>59,707</b>	<b>(2,392)</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$4,590	\$4,692	\$4,500	-\$192

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$3,657	\$3,738	\$3,585	-\$153

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$1,354	\$1,384	\$1,327	-\$57

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$12,790	\$13,075	\$12,539	-\$536

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$2,005	\$2,050	\$1,966	-\$84

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$23,266	\$23,784	\$22,809	-\$975

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$524	\$536	\$514	-\$22

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$165	\$169	\$162	-\$7

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$79	\$81	\$77	-\$4

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$1,215	\$1,242	\$1,191	-\$51

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$1,658	\$1,695	\$1,625	-\$70

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
91.0 Unvouchered	\$372	\$378	\$363	-\$15

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Visa Security Program**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	6,978	8,380	8,092	(288)
11.3 Other than full-time permanent	197	237	227	(10)
11.5 Other personnel compensation	1,855	2,228	2,141	(87)
12.1 Benefits	5,554	6,671	6,413	(258)
<b>Total, Personnel and Compensation Benefits</b>	<b>14,584</b>	<b>17,516</b>	<b>16,873</b>	<b>(643)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,165	1,399	1,345	(54)
22.0 Transportation of things	633	760	731	(29)
23.1 GSA rent	338	406	390	(16)
23.2 Other rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	3,156	3,792	3,644	(148)
25.1 Advisory and assistance services	3,482	4,182	4,021	(161)
25.2 Other services	1,070	1,285	1,236	(49)
25.3 Purchases from Gov't accts.	52	62	60	(2)
25.4 O&M of facilities	41	49	47	(2)
25.7 Operation and maintenance of equipment	821	986	949	(37)
26.0 Supplies and materials	278	334	321	(13)
31.0 Equipment	2,561	3,076	2,957	(119)
91.0 Unvouchered	34	41	41	-
<b>Total, Other Object Classes</b>	<b>13,632</b>	<b>16,373</b>	<b>15,743</b>	<b>(630)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>28,216</b>	<b>33,889</b>	<b>32,616</b>	<b>(1,273)</b>
<b>Full Time Equivalents</b>	<b>60</b>	<b>62</b>	<b>64</b>	<b>2</b>

**Visa Security Program Mission Statement**

The Visa Security Program (VSP) represents ICE's front line in protecting the United States against terrorist and criminal organizations. VSP enhances the security of visa issuance at high-risk overseas posts by deploying trained special agents to identify and investigate potential terrorist and criminal threats before they reach the United States and interdicting those who would exploit the legal visa process.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	6,978	8,380	8,092	(288)
11.3 Other than full-time permanent	197	237	227	(10)
11.5 Other personnel compensation	1,855	2,228	2,141	(87)
12.1 Benefits	5,554	6,671	6,413	(258)
<b>Total, Salaries &amp; Benefits</b>	<b>14,584</b>	<b>17,516</b>	<b>16,873</b>	<b>(643)</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,165</b>	<b>\$1,399</b>	<b>\$1,345</b>	<b>-\$54</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$633</b>	<b>\$760</b>	<b>\$731</b>	<b>-\$29</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$338</b>	<b>\$406</b>	<b>\$390</b>	<b>-\$16</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$3,156</b>	<b>\$3,792</b>	<b>\$3,644</b>	<b>-\$148</b>

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$3,482</b>	<b>\$4,182</b>	<b>\$4,021</b>	<b>-\$161</b>

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$1,070	\$1,285	\$1,236	-\$49

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$52	\$62	\$60	-\$2

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$41	\$49	\$47	-\$2

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$821	\$986	\$949	-\$37

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$278	\$334	\$321	-\$13

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$2,561	\$3,076	\$2,957	-\$119

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.



**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Intelligence**

Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	36,842	42,477	47,144	4,667
11.3 Other than full-time permanent	378	436	482	46
11.5 Other personnel compensation	2,711	3,126	3,456	330
12.1 Benefits	12,122	13,976	15,451	1,475
<b>Total, Personnel and Compensation Benefits</b>	<b>52,053</b>	<b>60,015</b>	<b>66,533</b>	<b>6,518</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,079	1,334	758	(576)
22.0 Transportation of things	50	62	35	(27)
23.1 GSA rent	2,944	3,640	2,069	(1,571)
23.2 Other rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	1,242	1,536	873	(663)
25.1 Advisory and assistance services	3,015	3,728	2,119	(1,609)
25.2 Other services	4,887	6,042	3,434	(2,608)
25.3 Purchases from Gov't accts.	691	854	486	(368)
25.4 O&M of facilities	363	449	255	(194)
25.7 Operation and maintenance of equipment	795	983	559	(424)
26.0 Supplies and materials	508	628	357	(271)
31.0 Equipment	1,777	2,197	1,249	(948)
42.0 Insurance Claims and Indemnity	10	12	7	(5)
91.0 Unvouchered	19	22	13	(9)
<b>Total, Other Object Classes</b>	<b>17,381</b>	<b>21,488</b>	<b>12,215</b>	<b>(9,273)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>69,434</b>	<b>81,503</b>	<b>78,748</b>	<b>(2,755)</b>
<b>Full Time Equivalents</b>	<b>386</b>	<b>386</b>	<b>383</b>	<b>(3)</b>

**Intelligence Mission Statement**

The Office of Intelligence focuses on data and information related to the movement of people, money and materials into, within and out of the United States to provide accurate and timely reporting to ICE leadership and field agents in support of enforcement operations. ICE's intelligence functions are managed by a highly trained team of professionals with expertise in data and threat analysis, languages, financial investigations, counterterrorism and a number of other areas. ICE intelligence professionals process information from a variety of sources to provide assessments of patterns, trends and new developments in a wide range of law enforcement areas. These include the following areas: Terrorism, Human Smuggling and Trafficking, Money Laundering and Financial Crime, Drug Smuggling, Criminal Aliens, Air and Marine Smuggling, Cyber Crimes, Identity Fraud and Document Fraud, and Arms Trafficking.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	36,842	42,477	47,144	4,667
11.3 Other than full-time permanent	378	436	482	46
11.5 Other personnel compensation	2,711	3,126	3,456	330
12.1 Benefits	12,122	13,976	15,451	1,475
<b>Total, Salaries &amp; Benefits</b>	<b>52,053</b>	<b>60,015</b>	<b>66,533</b>	<b>6,518</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,079</b>	<b>\$1,334</b>	<b>\$758</b>	<b>-\$576</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$50</b>	<b>\$62</b>	<b>\$35</b>	<b>-\$27</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$2,944</b>	<b>\$3,640</b>	<b>\$2,069</b>	<b>-\$1,571</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$1,242</b>	<b>\$1,536</b>	<b>\$873</b>	<b>-\$663</b>

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$3,015</b>	<b>\$3,728</b>	<b>\$2,119</b>	<b>-\$1,609</b>

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2011 Actual Obligations
25.2 Other services	\$4,887	\$6,042	\$3,434	-\$2,608

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$691	\$854	\$486	-\$368

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$363	\$449	\$255	-\$194

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$795	\$983	\$559	-\$424

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$508	\$628	\$357	-\$271

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$1,777	\$2,197	\$1,249	-\$948

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
42.0 Insurance Claims and Indemnity	\$10	\$12	\$7	-\$5

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>91.0 Unvouchered</b>	\$19	\$22	\$13	-\$9

Unvouchered includes expenditures made lawfully for confidential purposes, including authorized payments made by law enforcement to informants, which are not subject to detailed vouchering or reporting.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**ERO - Custody Operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	335,774	341,975	345,189	3,214
11.3 Other than full-time permanent	2,636	2,548	2,544	(4)
11.5 Other personnel compensation	100,681	96,883	96,735	(148)
11.8 Special Service Pay	242	159	159	-
12.1 Benefits	173,695	176,288	178,016	1,728
<b>Total, Personnel and Compensation Benefits</b>	<b>613,028</b>	<b>617,853</b>	<b>622,643</b>	<b>4,790</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	6,453	5,213	5,205	(8)
22.0 Transportation of things	1,234	987	985	(2)
23.1 GSA rent	59,460	58,433	60,463	2,030
23.2 Other rent	204	214	225	11
23.3 Communications, utilities, and misc. charges	21,772	22,861	19,973	(2,888)
24.0 Printing	1	8	8	-
25.1 Advisory and assistance services	36,087	28,870	20,561	(8,309)
25.2 Other services	75,391	55,313	40,684	(14,629)
25.3 Purchases from Gov't accts.	8,165	6,448	5,151	(1,297)
25.4 O&M of facilities	765,107	1,055,895	995,660	(60,235)
25.6 Medical care	169,212	165,146	159,074	(6,072)
25.7 Operation and maintenance of equipment	5,637	5,919	6,206	287
25.8 Subsistence & Support of persons	103	108	114	6
26.0 Supplies and materials	25,990	21,099	16,074	(5,025)
31.0 Equipment	7,837	3,784	3,778	(6)
42.0 Insurance Claims and Indemnity	3,232	2,394	2,559	165
91.0 Unvouchered	(295)	-	-	-
<b>Total, Other Object Classes</b>	<b>1,185,590</b>	<b>1,432,692</b>	<b>1,336,720</b>	<b>(95,972)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,798,618</b>	<b>2,050,545</b>	<b>1,959,363</b>	<b>(91,182)</b>
<b>Full Time Equivalents</b>	<b>4,732</b>	<b>4,585</b>	<b>4,506</b>	<b>(79)</b>

**ERO - Custody Operations Mission Statement**

Immigration enforcement authorities apprehend potentially removable aliens. In many cases, these aliens must be detained while they go through immigration proceedings and until they are removed. Enforcement and Removal Operations prioritizes which cases will be detained based on ICE's enforcement priorities while low-risk aliens are enrolled in ATD programs or released on immigration bond. Custody Operations provides safe, secure, and humane confinement for these aliens. It also ensures that aliens in ICE custody appear for their immigration hearings, and then for their subsequent removal.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	335,774	341,975	345,189	3,214
11.3 Other than full-time permanent	2,636	2,548	2,544	(4)
11.5 Other personnel compensation	100,681	96,883	96,735	(148)
11.8 Special Service Pay	242	159	159	-
12.1 Benefits	173,695	176,288	178,016	1,728
<b>Total, Salaries &amp; Benefits</b>	<b>613,028</b>	<b>617,853</b>	<b>622,643</b>	<b>4,790</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$6,453	\$5,213	\$5,205	-\$8

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$1,234	\$987	\$985	-\$2

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$59,460	\$58,433	\$60,463	\$2,030

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$204	\$214	\$225	\$11

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$21,772	\$22,861	\$19,973	-\$2,888

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$36,087	\$28,870	\$20,561	-\$8,309

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$75,391	\$55,313	\$40,684	-\$14,629

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$8,165	\$6,448	\$5,151	-\$1,297

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$765,107	\$1,055,895	\$995,660	-\$60,235

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$169,212	\$165,146	\$159,074	-\$6,072

Medical Care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$5,637	\$5,919	\$6,206	\$287

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.8 Subsistence & Support of persons	\$103	\$108	\$114	\$6

Subsistence and Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$25,990	\$21,099	\$16,074	-\$5,025

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$7,837	\$3,784	\$3,778	-\$6

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
42.0 Insurance Claims and Indemnity	\$3,232	\$2,394	\$2,559	\$165

Indemnity includes insurance claims and benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.



**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**ERO - Fugitive Operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	55,327	59,238	61,663	2,425
11.3 Other than full-time permanent	4	21	21	-
11.5 Other personnel compensation	17,639	16,928	16,928	-
12.1 Benefits	29,805	28,463	28,463	-
<b>Total, Personnel and Compensation Benefits</b>	<b>102,775</b>	<b>104,650</b>	<b>107,075</b>	<b>2,425</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,862	1,631	1,192	(439)
22.0 Transportation of things	82	72	52	(20)
23.1 GSA rent	7,300	8,390	6,048	(2,342)
23.2 Other rent	8	997	957	(40)
23.3 Communications, utilities, and misc. charges	1,785	2,051	1,968	(83)
24.0 Printing	-	8	8	-
25.1 Advisory and assistance services	12,347	15,324	3,814	(11,510)
25.2 Other services	8,473	11,557	3,160	(8,397)
25.3 Purchases from Gov't accts.	1,259	1,009	1,007	(2)
25.4 O&M of facilities	88,165	-	-	-
25.7 Operation and maintenance of equipment	2,262	3,181	3,051	(130)
26.0 Supplies and materials	4,815	4,216	3,082	(1,134)
31.0 Equipment	1,883	1,506	1,506	-
42.0 Insurance Claims and Indemnity	4	5	5	-
91.0 Unvouchered	(20)	-	-	-
<b>Total, Other Object Classes</b>	<b>130,225</b>	<b>49,947</b>	<b>25,850</b>	<b>(24,097)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>233,000</b>	<b>154,597</b>	<b>132,925</b>	<b>(21,672)</b>
<b>Full Time Equivalents</b>	<b>699</b>	<b>700</b>	<b>695</b>	<b>(5)</b>

**ERO - Fugitive Operations Mission Statement**

The Fugitive Operations program locates and apprehends fugitive aliens in the United States. It strives to identify or apprehend all fugitives, creating a deterrent to potential absconders and increasing the integrity of the immigration enforcement process.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	55,327	59,238	61,663	2,425
11.3 Other than full-time permanent	4	21	21	-
11.5 Other personnel compensation	17,639	16,928	16,928	-
12.1 Benefits	29,805	28,463	28,463	-
<b>Total, Salaries &amp; Benefits</b>	<b>102,775</b>	<b>104,650</b>	<b>107,075</b>	<b>2,425</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,862</b>	<b>\$1,631</b>	<b>\$1,192</b>	<b>-\$439</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$82</b>	<b>\$72</b>	<b>\$52</b>	<b>-\$20</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$7,300</b>	<b>\$8,390</b>	<b>\$6,048</b>	<b>-\$2,342</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$8</b>	<b>\$997</b>	<b>\$957</b>	<b>-\$40</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$1,785</b>	<b>\$2,051</b>	<b>\$1,968</b>	<b>-\$83</b>

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$12,347	\$15,324	\$3,814	-\$11,510

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$8,473	\$11,557	\$3,160	-\$8,397

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,259	\$1,009	\$1,007	-\$2

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$2,262	\$3,181	\$3,051	-\$130

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$4,815	\$4,216	\$3,082	-\$1,134

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**ERO - Criminal Alien Program**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	74,930	95,312	97,756	2,444
11.3 Other than full-time permanent	431	93	95	2
11.5 Other personnel compensation	24,785	24,782	25,278	496
12.1 Benefits	41,291	41,289	42,115	826
<b>Total, Personnel and Compensation Benefits</b>	<b>141,437</b>	<b>161,476</b>	<b>165,244</b>	<b>3,768</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,364	2,761	2,761	-
22.0 Transportation of things	220	168	168	-
23.1 GSA rent	12,087	12,691	13,326	635
23.2 Other rent	764	762	762	-
23.3 Communications, utilities, and misc. charges	4,876	5,120	5,376	256
24.0 Printing	1	1	1	-
25.1 Advisory and assistance services	9,227	5,250	9,304	4,054
25.2 Other services	6,597	4,074	9,723	5,649
25.3 Purchases from Gov't accts.	2,384	1,718	2,384	666
25.4 O&M of facilities	9,487	-	-	-
25.7 Operation and maintenance of equipment	1,176	829	829	-
26.0 Supplies and materials	3,467	1,604	4,604	3,000
31.0 Equipment	1,983	242	2,242	2,000
32.0 Land & structures	12	-	-	-
91.0 Unvouchered	(5)	-	-	-
<b>Total, Other Object Classes</b>	<b>53,640</b>	<b>35,220</b>	<b>51,480</b>	<b>16,260</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>195,077</b>	<b>196,696</b>	<b>216,724</b>	<b>20,028</b>
<b>Full Time Equivalents</b>	<b>1,143</b>	<b>1,376</b>	<b>1,369</b>	<b>(7)</b>

**ERO - Criminal Alien Program Mission Statement**

The Criminal Alien Program (CAP) ensures that aliens are not released back into the community before they are removed from the United States. Through the CAP, ICE officers interview incarcerated aliens to determine whether they are amenable to immigration proceedings. If a case receives a final order of removal, ICE officers will immediately take that alien into custody upon completion of his or her criminal sentence and then prepare that case for removal.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	74,930	95,312	97,756	2,444
11.3 Other than full-time permanent	431	93	95	2
11.5 Other personnel compensation	24,785	24,782	25,278	496
12.1 Benefits	41,291	41,289	42,115	826
<b>Total, Salaries &amp; Benefits</b>	<b>141,437</b>	<b>161,476</b>	<b>165,244</b>	<b>3,768</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$12,087	\$12,691	\$13,326	\$635

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$4,876	\$5,120	\$5,376	\$256

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$9,227	\$5,250	\$9,304	\$4,054

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$6,597	\$4,074	\$9,723	\$5,649

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$2,384	\$1,718	\$2,384	\$666

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$3,467	\$1,604	\$4,604	\$3,000

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$1,983	\$242	\$2,242	\$2,000

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**ERO - Alternatives to Detention**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	12,718	13,065	31,145	18,080
11.3 Other than full-time permanent	64	57	57	-
11.5 Other personnel compensation	3,287	3,340	3,340	-
12.1 Benefits	6,435	6,538	9,175	2,637
<b>Total, Personnel and Compensation Benefits</b>	<b>22,504</b>	<b>23,000</b>	<b>43,717</b>	<b>20,717</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	124	99	99	-
22.0 Transportation of things	28	22	22	-
23.1 GSA rent	1,788	1,877	1,971	94
23.2 Other rent	1	1	1	-
23.3 Communications, utilities, and misc. charges	1,891	1,986	2,085	99
25.1 Advisory and assistance services	30,200	44,358	62,625	18,267
25.2 Other services	13,560	335	375	40
25.3 Purchases from Gov't accts.	417	-	-	-
25.4 O&M of facilities	219	-	-	-
25.7 Operation and maintenance of equipment	349	281	281	-
26.0 Supplies and materials	438	160	160	-
31.0 Equipment	317	254	254	-
91.0 Unvouchered	(4)	-	-	-
<b>Total, Other Object Classes</b>	<b>49,328</b>	<b>49,373</b>	<b>67,873</b>	<b>18,500</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>71,832</b>	<b>72,373</b>	<b>111,590</b>	<b>39,217</b>
<b>Full Time Equivalents</b>	<b>176</b>	<b>186</b>	<b>219</b>	<b>33</b>

**ERO - Alternatives to Detention Mission Statement**

The Alternatives to Detention program places low-risk aliens under various forms of intensive supervision or electronic monitoring rather than physical detention as a cost-effective way to ensure their appearance for an immigration hearing and for removal.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	12,718	13,065	31,145	18,080
11.3 Other than full-time permanent	64	57	57	-
11.5 Other personnel compensation	3,287	3,340	3,340	-
12.1 Benefits	6,435	6,538	9,175	2,637
<b>Total, Salaries &amp; Benefits</b>	<b>22,504</b>	<b>23,000</b>	<b>43,717</b>	<b>20,717</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$1,788	\$1,877	\$1,971	\$94

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$1,891	\$1,986	\$2,085	\$99

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$30,200	\$44,358	\$62,625	\$18,267

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$13,560	\$335	\$375	\$40

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.



**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**ERO - Transportation and Removal Program**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	6,081	6,243	162
11.8 Special Service Pay	1	-	-	-
12.1 Benefits	451	3,212	3,276	64
<b>Total, Personnel and Compensation Benefits</b>	<b>452</b>	<b>9,293</b>	<b>9,519</b>	<b>226</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	240,071	233,282	233,096	(186)
22.0 Transportation of things	379	7	7	-
23.2 Other rent	27	-	-	-
23.3 Communications, utilities, and misc. charges	660	693	728	35
24.0 Printing	1	1	1	-
25.1 Advisory and assistance services	15,840	22,021	4,502	(17,519)
25.2 Other services	3,472	2,970	2,970	-
25.3 Purchases from Gov't accts.	366	-	-	-
25.4 O&M of facilities	2,303	795	795	-
25.7 Operation and maintenance of equipment	3,996	2,722	2,722	-
25.8 Subsistence & Support of persons	1	-	-	-
26.0 Supplies and materials	9,032	4,769	3,808	(961)
31.0 Equipment	179	79	79	-
32.0 Land & structures	(1)	-	-	-
91.0 Unvouchered	(150)	-	-	-
<b>Total, Other Object Classes</b>	<b>276,176</b>	<b>267,339</b>	<b>248,708</b>	<b>(18,631)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>276,628</b>	<b>276,632</b>	<b>258,227</b>	<b>(18,405)</b>
<b>Full Time Equivalents</b>	-	59	49	(10)

**ERO - Transportation and Removal Program Mission Statement**

The Transportation and Removals Management program provides safe and secure transportation of aliens in ICE custody as well as prepares for and conducts the removals of aliens from the United States, as ordered by an immigration judge.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	6,081	6,243	162
11.8 Special Service Pay	1	-	-	-
12.1 Benefits	451	3,212	3,276	64

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	6,081	6,243	162
<b>Total, Salaries &amp; Benefits</b>	<b>452</b>	<b>9,293</b>	<b>9,519</b>	<b>226</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$240,071	\$233,282	\$233,096	-\$186

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$660	\$693	\$728	\$35

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$15,840	\$22,021	\$4,502	-\$17,519

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$9,032	\$4,769	\$3,808	-\$961

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Salaries and Expenses**  
**Comprehensive Identification and Removal of Criminal Aliens**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	45,375	55,561	56,737	1,176
11.3 Other than full-time permanent	13,957	321	326	5
11.5 Other personnel compensation	-	16,914	17,185	271
12.1 Benefits	22,884	28,899	29,361	462
<b>Total, Personnel and Compensation Benefits</b>	<b>82,216</b>	<b>101,695</b>	<b>103,609</b>	<b>1,914</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,599	11,739	5,870	(5,869)
22.0 Transportation of things	369	110	110	-
23.1 GSA rent	4,550	1,036	1,036	-
23.3 Communications, utilities, and misc. charges	5,316	1,200	600	(600)
25.1 Advisory and assistance services	11,399	7,375	3,536	(3,839)
25.2 Other services	6,349	8,142	3,085	(5,057)
25.3 Purchases from Gov't accts.	3,862	2,898	449	(2,449)
25.4 O&M of facilities	52,962	-	-	-
25.7 Operation and maintenance of equipment	3,114	15,661	13,210	(2,451)
26.0 Supplies and materials	8,817	1,775	1,775	-
31.0 Equipment	19,043	37,433	5,433	(32,000)
91.0 Unvouchered	4	-	-	-
<b>Total, Other Object Classes</b>	<b>117,384</b>	<b>87,369</b>	<b>35,104</b>	<b>(52,265)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>199,600</b>	<b>189,064</b>	<b>138,713</b>	<b>(50,351)</b>
<b>Full Time Equivalents</b>	<b>553</b>	<b>619</b>	<b>727</b>	<b>108</b>

**Comprehensive Identification and Removal of Criminal Aliens Mission Statement**

Secure Communities, also known as Comprehensive Identification and Remove Criminal Aliens (SC/CIRCA), is a comprehensive plan to improve community safety by transforming the way the Federal Government cooperates with state and local law enforcement agencies to identify, detain, and remove all criminal aliens held in custody.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	45,375	55,561	56,737	1,176
11.3 Other than full-time permanent	13,957	321	326	5
11.5 Other personnel compensation	-	16,914	17,185	271
12.1 Benefits	22,884	28,899	29,361	462
<b>Total, Salaries &amp; Benefits</b>	<b>82,216</b>	<b>101,695</b>	<b>103,609</b>	<b>1,914</b>

Salaries and Benefits includes regular salaries and wages paid to civilian employees for full-time, part-time, temporary or intermittent employment; compensation above the basic rates paid directly to civilian employees such as overtime, holiday pay, night work differential, hazardous duty pay, supervisory differential, incentive awards, and royalties; and benefits including life insurance, health insurance, employee retirement, work injury disabilities, professional liability insurance, recruitment, retention and other incentives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,599</b>	<b>\$11,739</b>	<b>\$5,870</b>	<b>-\$5,869</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$5,316</b>	<b>\$1,200</b>	<b>\$600</b>	<b>-\$600</b>

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$11,399</b>	<b>\$7,375</b>	<b>\$3,536</b>	<b>-\$3,839</b>

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, state and local governments, tribes, etc.), as well as from other units within the Federal government.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$6,349</b>	<b>\$8,142</b>	<b>\$3,085</b>	<b>-\$5,057</b>

Other Services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$3,862</b>	<b>\$2,898</b>	<b>\$449</b>	<b>-\$2,449</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$3,114	\$15,661	\$13,210	-\$2,451

Operation and Maintenance of Equipment includes costs for operation, maintenance, repair, and storage of equipment when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$19,043	\$37,433	\$5,433	-\$32,000

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

## I. Changes in Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>20,142</b>	<b>19,642</b>	<b>19,982</b>
<b>Increases</b>			
Adjustment to Position Management Levels	(500)	282	-
FY12 Secure Communities Enhancement Annualization	-	-	115
FY12 VSP Enhancement Annualization	-	-	3
ATD Expansion	-	-	35
US-Visit	-	-	78
FY 2012 Transfer to Salaries and Expenses from User Fee	-	22	-
FY 2012 Transfer to Salaries and Expenses from Automation	-	36	-
<b>Subtotal, Increases</b>	<b>(500)</b>	<b>340</b>	<b>231</b>
<b>Decreases</b>			
287(g)	-	-	(24)
Attrition of Mission Support FTE	-	-	(193)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(217)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>19,642</b>	<b>19,982</b>	<b>19,996</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>(500)</b>	<b>340</b>	<b>14</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Personnel Compensation and Benefits, Service, and Other Costs	\$2,542	\$2,530	\$3,702	\$1,172
International Investigations	550	535	782	247
ERO - Custody Operations	9,369	9,426	13,790	4,364
Headquarters Managed IT Investment	9,093	690	1,008	318
Legal Proceedings	2,553	2,749	4,022	1,273
Visa Security Program	91	118	173	55
ERO - Fugitive Operations	1,317	1,409	2,062	653
Domestic Investigations	15,614	17,034	24,921	7,887
ERO - Criminal Alien Program	2,189	2,337	3,419	1,082
ERO - Alternatives to Detention	315	347	508	161
Intelligence	778	748	1,094	346
Comprehensive Identification and Removal of Criminal Aliens	1,031	1,249	1,828	579
<b>Total Working Capital Fund</b>	<b>45,442</b>	<b>39,172</b>	<b>57,309</b>	<b>18,137</b>

**K. DHS Balanced Workforce Strategy**

N/A



## L. Schedule of Servicewide Costs by Program/Project Activity

Program/Project Activity	FY 2011 Actual	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
	Amount	Amount	Amount	Amount
Personnel Compensation and Benefits, Services, and Other Costs	43,410	36,092	36,092	0
Headquarters Managed IT Investment	22,067	23,313	23,313	0
Legal Proceedings	34,302	36,133	36,133	0
Domestic Investigations	282,163	310,697	300,658	(10,039)
International Investigations	6,205	7,633	7,633	0
Visa Security Program	1,824	1,225	1,225	0
Intelligence	10,100	10,646	11,185	539
ERO - Custody Operations	161,928	167,940	167,940	0
ERO - Fugitive Operations	18,957	23,450	23,450	0
ERO - Criminal Alien Program	36,839	37,862	47,362	9,500
ERO - Alternatives to Detention	6,727	6,697	6,697	0
ERO - Transportation and Removal Program	0	1036	1036	0
Comprehensive Identification and Removal of Criminal Aliens	9,032	17,471	17,471	0
Automation Modernization	0	0	0	0
Construction	0	0	0	0
Federal Protective Service	1,971	0	0	0
Breached Bond Detention Fund	0	0	0	0
Student Exchange and Visitor Program	546	884	884	0
Immigration Inspection User Fees	0	0	0	0
<b>Total Service wide Costs</b>	<b>\$636,071</b>	<b>\$681,079</b>	<b>\$681,079</b>	<b>\$0</b>

Note: These service wide costs are made up of costs that all PPAs pay a portion of such as rent, the DHS working capital fund, utilities, workers compensation, FPS security, and transit subsidies. The FY 2012 and FY 2013 service wide (overhead) costs are estimates that are subject to change.

# Department of Homeland Security

*U.S. Immigration and Customs Enforcement  
Automation Modernization*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Immigration and Customs Enforcement Automation Modernization**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Automation Modernization:**

The U.S. Immigration and Customs Enforcement (ICE) Automation Modernization account includes Atlas Information Technology (IT) Infrastructure, Law Enforcement Systems Modernization, TECS Modernization, Detention and Removal Operations Modernization (DROM), Electronic Health Records (eHR), Financial System Modernization, and ICE Decision Support Systems (IDSS).

The Automation Modernization account allows ICE to improve information sharing with the Department of Homeland Security (DHS) and other partner organizations. These initiatives strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

##### **B. Budget Activities:**

###### *Atlas IT Infrastructure*

The Atlas program integrates enforcement capability rooted in a “One DHS” vision that includes sharing information, coordinating systems for identifying threats, forging DHS-wide standards, and weaving together networks. To this end, the Atlas program seeks to create and sustain a secure, scalable IT environment that supports ICE law enforcement programs. Prior to 2008, the Atlas Program consisted of 8 major projects with 21 subprojects. By January 2009, 10 sub-projects were completed. To better align with the DHS IT strategic direction and to allow for more efficient management, the remaining sub-projects were realigned and Atlas was further expanded to include several new IT initiatives. The Atlas program currently consists of 3 projects with 11 associated subprojects. These projects improve infrastructure, consolidate and standardize IT equipment, improve IT products and services, and increase the security of equipment.

A description of current Atlas projects follows:

Infrastructure Modernization – This project was initiated to improve information-sharing across DHS and ICE, strengthen information availability, provide a fully secure IT environment, improve workforce productivity, and migrate ICE infrastructure to the DHS One Network.

Tactical Communications - This project is designed to modernize mission-critical tactical communications for ICE. This project will replace legacy tactical communications equipment and infrastructure with digital, encrypted, narrowband, Project 25-compliant systems. ICE will

design, engineer, acquire, integrate, program, install, test, and optimize its tactical wireless communications systems nationwide. Additionally, the TC project will provide infrastructure and subscriber unit training for ICE agents and officers, ensuring users understand how to use the modernized communications systems to support their mission-critical operations.

Cyber Security Modernization – This project will create a robust IT environment in which authentication is rigid. This rigidity greatly increases ICE’s capability to identify threats and respond in an effective manner to those threats. It also increases ICE’s ability to control security assurance and risk management decisions. This increased security control ensures that ICE will better protect its sensitive information, that critical IT resources are available to its workforce when needed, and that information integrity is maintained.

#### Law Enforcement Systems Modernization

This initiative includes the following projects:

TECS Modernization – This system will modernize the existing TECS functions that are specific to ICE. These include Investigative Case Management (including Bank Secrecy Act data access, Money Laundering reporting and tracking, and Telephone Link analysis), Intelligence Reporting and Dissemination, Management Reporting and Workflow, Security and Oversight, Shared Services, Data Management, and Infrastructure Acquisition and Deployment. TECS modernization is a joint U.S. Customs and Border Protection and ICE initiative.

Mobile Automated Biometric Identification System (IDENT) – This project gives ICE agents the ability to identify and process an individual in the field using mobile processing units. Currently, suspected illegal aliens are transported to brick and mortar facilities for fingerprint identification. Mobile IDENT provides near real-time identification of aliens, decreases transportation costs, and increases officer safety by reducing the number of instances of alien transport.

ICE Pattern Analysis and Information Collection System (ICEPIC) – ICEPIC provides the capability to generate statistics, enact geospatial data, and link analysis for criminal and terrorist activities. ICEPIC is also the part of the information-sharing initiative that allows the integration of all law enforcement data into a single repository and allows the data to be shareable to local, State, and Federal law enforcement agencies.

ICE ACCESS – This initiative provides the resources to help ICE’s State and local partners in the ICE ACCESS program and will integrate ICE information on gangs with U.S. Department of Justice’s gang database.

Law Enforcement Information Sharing System (LEISS) - ICE is the steward for DHS in the Law Enforcement-Shared Mission Community space and is responsible for development, coordination, and support of policies, procedures, and processes that facilitate the mission and the DHS Secretary’s priorities for information sharing.

Intelligence Support – This initiative will fund improvements to ICE’s IT for its intelligence programs. This includes the migration of Data Analysis and Research for Trade Transparency

System and Cyber Crimes Center (C3) into the enterprise solution. This initiative will fund the maintenance of hardware and software for cyber-crime investigations, the National Child Victim Identification System, e-crimes, overt and covert networks, and an upgrade to the Digital Forensic Lab.

International Affairs Modernization – This initiative will fund the modernization of the tools currently being used to screen visa applicants at consular offices overseas.

Forensic Document Lab (FDL) – This modernization project will fund the expansion of the technology infrastructure for the FDL Automated Document Library System. The FDL provides tools and information to ICE agents performing criminal investigations. The modernization of the FDL will ensure applications and tools are available to the agents and will improve information-sharing capabilities and will ensure the systems are incorporated into the FDL enterprise.

#### *DRO Modernization (DROM)*

This initiative supports the system upgrades and improvements of Enforcement and Removal Operations (ERO), as well as supports the requirements of DHS in providing a secure border. DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and tracking detainees, bed-space availability management, and transportation management for detention and removals. Through the system upgrades and improvements, the ICE Office of the Chief Information Officer (OCIO) continues to support ERO with effective, responsive, and accurate computer and control systems that advance the ERO mission.

#### *Electronic Health Records (eHR)*

The ICE Health Services Center (IHSC) serves as the health authority for ICE on all matters related to detainee healthcare. IHSC provides direct patient care at 24 facilities (housing approximately 50-60 percent of the detainee population) and authorizes managed care services to the remaining ICE detainees housed at more than 350 contracted detention facilities without on-site IHSC staff nationwide. The eHR initiative will provide enhanced medical documentation quality across all IHSC and Intergovernmental Service Agreement facilities; faster dissemination and improved exchange of detainee health information; and improved data quality and access to support trend analysis, as well as the identification of national and global public health threats.

#### *Modernization of Financial Systems (MFS)*

The MFS initiative supports the DHS enterprise-wide initiative of consolidating a number of financial systems. This initiative will assist ICE in achieving and sustaining unqualified financial audit opinions and performing effective financial management.

ICE Decision Support Systems (IDSS)

The IDSS facilitates business and organizational decision-making activities across the ICE enterprise. This program is the sponsor of the IDSS, which provides ICE law enforcement users with information-sharing capabilities by addressing information sharing and applications interoperability. IDSS is the program’s vehicle for providing self-service reporting and analysis at users’ fingertips, allowing decision makers to spend less time looking for answers and more time making strategic decisions. This initiative will assist law enforcement agents and ICE decision makers in collecting and generating data to aid them in their investigative, intelligence, and case management activities.

**C. Budget Request Summary:**

ICE requests \$30,500,000 to continue the modernization of its information technology and systems infrastructure for the following program initiatives:

**Information Technology Improvements.....\$30.500M (0 FTE)**

- **DRO Modernization (\$4.0M):** This request will fund the ENFORCE Alien Removal Module (EARM) v4, which will provide data to State and local law enforcement to help identify, process, and detain immigration offenders. Specifically, DROM will complete development of the EARM-Executive Office for Immigration Review (EOIR) system-to-system interface. The new interface will provide EOIR with real-time access to detainee case information in support of court-based activities and actions.
- **Electronic Health Records (\$3.50M):** This request will support partial development of interfaces with key DHS systems, such as EARM, as well as with key external systems, such as the Bureau of Prisons’ Sentry system. The requested funding will also support initial development of an integrated electronic medical records system with basic core functionality for clinic support.
- **Law Enforcement Systems Modernization (\$23.0M):** This request will fund TECS Modernization, a joint CBP and ICE initiative supporting investigative information sharing that is scheduled for completion in FY 2015.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Immigration and Customs Enforcement Automation Modernization

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority <sup>1</sup>			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Automation Modernization	36	36	73,762	-	-	21,710	-	-	30,500	-	-	8,790	-	-	30,500	-	-	(21,710)
<b>Total, Automation Modernization</b>	<b>36</b>	<b>36</b>	<b>73,762</b>	<b>-</b>	<b>-</b>	<b>21,710</b>	<b>-</b>	<b>-</b>	<b>30,500</b>	<b>-</b>	<b>-</b>	<b>8,790</b>	<b>-</b>	<b>-</b>	<b>30,500</b>	<b>-</b>	<b>-</b>	<b>(21,710)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>36</b>	<b>36</b>	<b>73,762</b>	<b>-</b>	<b>-</b>	<b>21,710</b>	<b>-</b>	<b>-</b>	<b>30,500</b>	<b>-</b>	<b>-</b>	<b>8,790</b>	<b>-</b>	<b>-</b>	<b>30,500</b>	<b>-</b>	<b>-</b>	<b>(21,710)</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>36</b>	<b>36</b>	<b>73,762</b>	<b>-</b>	<b>-</b>	<b>21,710</b>	<b>-</b>	<b>-</b>	<b>30,500</b>	<b>-</b>	<b>-</b>	<b>8,790</b>	<b>-</b>	<b>-</b>	<b>30,500</b>	<b>-</b>	<b>-</b>	<b>(21,710)</b>

<sup>1</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$10.0 million, pursuant to P.L. 112-74.



### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Automation Modernization  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Automation Modernization**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>36</b>	<b>36</b>	<b>73,762</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>21,710</b>
2013 Adjustments-to-Base	-	-	(21,710)
<b>2013 Current Services</b>	-	-	-
2013 Program Change	-	-	30,500
<b>2013 Total Requested Budget Authority</b>	-	-	<b>30,500</b>
Total Change 2012 to 2013	-	-	8,790

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2013, ICE requests \$30.5 million for Automation Modernization to enable ICE to improve information sharing with the Department of Homeland Security (DHS) and other partner organizations. This request reflects a change of \$8.8 million from the FY 2012 enacted amount, including a reduction of \$21.7 million for the termination of one-time costs and a program change increase of \$30.5 million. The program change of \$30.5 million (described more fully in the program change section) will fund continued development of IT systems for detention and removal operations, electronic health records and law enforcement systems. The Automation Modernization initiatives strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices across ICE.

<b><u>QHSR Alignment</u></b>
<b>3.1</b> Strengthen and Effectively Administer the Immigration System
<b>3.2</b> Prevent Unlawful Immigration

**Program Description**

There are seven ICE Automation Modernization initiatives.

### Atlas IT Infrastructure (AITI)

The Atlas program integrates enforcement capability rooted in a “One DHS” vision that includes sharing information, coordinating systems for identifying threats, forging DHS wide standards, and weaving together networks. To this end, the Atlas program seeks to create and sustain a secure, scalable IT environment that supports ICE law enforcement programs. These projects improve infrastructure, consolidate and standardize IT equipment, improve IT products and services, and increase the security of equipment.

### Law Enforcement Systems Modernization (LESM)

To address shortcomings identified after the attacks of 9/11/2001, the Federal Government has been working to share law enforcement information with state, local, tribal, and international law enforcement partners. In order to meet this mandate, ICE is modernizing critical law enforcement information systems. The LESM program will increase efficiency and effectiveness by providing improved information-sharing capabilities. LESM includes a number of case management, information sharing, and operational support service projects that will improve ICE law enforcement personnel access to critical law enforcement information. This information will allow agents to build more solid cases, enforce immigration laws, and share information with other agencies and partners.

### TECS Modernization

This initiative will modernize the existing TECS functions that are specific to ICE. These include Investigative Case Management (including Bank Secrecy Act data access, Money Laundering reporting and tracking, and Telephone Link analysis), Intelligence Reporting and Dissemination, Management Reporting and Workflow, Security and Oversight, Shared Services, Data Management, Infrastructure Acquisition and Deployment. TECS modernization is a joint U.S. Customs and Border Protection (CBP) and ICE initiative.

### DRO Modernization (DROM)

This initiative supports the system upgrades and improvements of Enforcement and Removal Operations (ERO), as well as supports the requirements of DHS in providing a secure border. DROM will effect improvements in the areas of real-time dynamic data reporting, detainee management, management of detention beds and tracking detainees, bed-space availability management, and transportation management for detention and removals. Through the system upgrades and improvements, the ICE Office of the Chief Information Officer (OCIO) continues to support ERO with effective, responsive, and accurate computer and control systems that advance the ERO mission.

### Electronic Health Records System (eHR)

The ICE Health Services Corps (IHSC) serves as the health authority for ICE on all matters related to detainee healthcare. IHSC provides direct patient care at 21 facilities (housing approximately 50-60 percent of the detainee population) and authorizes managed care services to the remaining ICE detainees housed at more than 350 contracted detention facilities without on-site IHSC staff nationwide. The e-HR initiative will provide enhanced medical documentation quality across all IHSC

and Intergovernmental Service Agreement (IGSA) facilities; faster dissemination and improved exchange of detainee health information; and improved data quality and access to support trend analysis, as well as the identification of national and global public health threats.

#### Modernization of Financial Systems (MFS)

The MFS initiative supports the DHS enterprise-wide initiative of consolidating a number of financial systems. This initiative will assist ICE in achieving and sustaining unqualified financial audit opinions and performing effective financial management.

#### ICE Decision Support Systems (IDSS)

The IDSS project facilitates business and organizational decision-making activities across the ICE enterprise. This project provides ICE law enforcement users with information-sharing capabilities by addressing information sharing and applications interoperability. IDSS is the program's vehicle for providing self-service reporting and analysis at users' fingertips, allowing decision makers to spend less time looking for answers and more time making strategic decisions. This initiative will assist law enforcement agents and ICE decision makers in collecting and generating data to aid them in their investigative, intelligence, and case management activities.

### **FY 2013 Planned Activities**

#### TECS Case Management Modernization (CM-M)

ICE will initiate design and development activities for Release 1.0 Core Case Management (CCM) capabilities and complete Critical Design Review (CDR) and Test Readiness Review (TRR). ICE will also develop a deployment strategy for Release 1.0 of CCM and award the Training Implementation contract and conduct training activities for Release 1.0. TECS CCM will seek System Definition Review approval from ICE OCIO Architecture. Finally, ICE will complete Data Migration from the Legacy TECS system to the target database and initiate design activities for subsequent CCM releases.

#### DRO Modernization (DROM)

ENFORCE Alien Removal Module (EARM) – ICE will add cash bonds processing and digital bond documentation to EARMs to reduce alien preparation and processing time. Secondly, ICE will incorporate threat levels to national security into EARM and provide automated business rules to appropriately classify detainees. Finally, ICE also will integrate the Risk Intake Classification Assessment (RCA) with EARM and the DROM portfolio. The enhancements to EARM will allow for a services interface to the Executive Office for Immigration Review (EOIR), which will enable real-time access to case information in support of court-based activities and actions.

Alternatives to Detention (ATD) – ICE will enhance its ATD tracking system to display upcoming appointment dates on the ATD Active Report so that activities occur seamlessly.

Electronic Travel Documents (eTD) – ICE will enhance the eTD application to meet security and Section 508 requirements and allow Statistical Tracking Unit to generate reports via IDSS. ICE will

also enhance the eTD interface by creating and managing travel documents through EARM, which will improve consistency and quality of ad hoc analytical reporting, eliminate duplicate travel document requests, and enhance dashboard reporting. Finally, ICE will roll out the eTD application to the Micronesian countries and Costa Rica.

**Electronic Health Records (eHR)**

ICE will acquire and deploy an ONC/CCHIT Complete Ambulatory eHR (Increment 1) to all 22 IHSC-staffed facilities, to include support for: 1) Delivery of Care and Detainee intake processing/screening (admissions); 2) Scheduling (appointments), referrals, and task lists; 3) Computerized Provider Order Entry (CPOE) – medications, diets, special needs; 4) Delivery of care (encounters) and provider notes using a SOAP (Subjective, Objective, Assessment, and Plan) structure; and 5) Detainee transfer clearances and transfer medications. ICE will also implement a Medication Management (pharmacy) system, replace the existing Kalos CIPS™ or upgrade it, and integrate the system to support the five medication rights (right patient, right medication, right dosage, right time, and right delivery mechanism). Finally, ICE will address Quality of Care in two areas: 1) Basic CPOE for procedure authorizations and prescriptions through validation of medication delivery and medical administration; and 2) Better data that complies with accrediting bodies and sharing with ICE for case management purposes.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>21,710</b>
<b>Adjustments-to-Base</b>	(21,710)
<i>Termination of One-Time Costs</i>	(21,710)
<b>Program Changes</b>	30,500
<i>Detention and Removal Operations Modernization</i>	4,000
<i>Electronic Health Records</i>	3,500
<i>Law Enforcement Systems Modernization</i>	23,000
<b>FY 2013 Request</b>	<b>30,500</b>

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Automation Modernization  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Detention and Removal Operations Modernization

PPA:

Program Increase: Positions 0, FTE 0, Dollars \$4,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	4,000
<b>Total Request</b>	-	-	<b>6,720</b>	-	-	<b>6,720</b>	-	-	<b>4,000</b>

### Description of Item

The Detention and Removal Operations Modernization (DROM) Program is an initiative intended to modernize the Enforcement and Removal Operations (ERO) IT systems. The major goal of DROM is to streamline its existing system in order to minimize the length of detention, increase bed space utilization, and increase removals of aliens ordered removed from the United States. The program and requisite projects ensure ERO has the technical ability to continue to meet DHS goals and continue to contribute in supporting: the DHS Border Security Program; the 287(g) program by providing state and local law enforcement officers' support in identifying, processing, and when appropriate, detaining immigration offenders; the Criminal Alien Program by identifying criminal aliens while incarcerated and providing automated processing to remove aliens upon prison release; and other ICE enforcement initiatives.

*Non-Personnel Costs (\$4.0 million):*

Enforce Alien Removal Module (EARM) V.4 - Performance enhancements to the EARM application and database will address capacity challenges to the system's infrastructure. The enhancements to EARM provide greater utilization and productivity of the system and enable ERO to perform automated business processes in a timely and efficient manner.

## **Justification**

This funding will add to the ERO systems functionality in supporting the business needs of the organization. These systems will be better integrated and reduce the creation of duplicate sources of data that contribute to better data quality, reliable performance, and better decision support metrics.

The DROM Program was initiated to improve the effectiveness of ERO and strengthen ERO alignment with the Border Security Program. The DROM Program modernizes ERO IT systems and automates manual processes with highly scalable robust IT solutions. As a result, the DROM Program is focused on closing the following performance gaps:

- Integration & Information Sharing;
- Systems Automation;
- Systems Flexibility;
- Trend Analysis & Resource Management; and
- Data Quality.

In FY 2013, DROM will complete development of the EARM-Executive Office for Immigration Review (EOIR) system-to-system interface. The new interface will provide EOIR with real-time access to detainee case information in support of court-based activities and actions. These data provide courtroom officials real-time detainee information that aids in preventing the release of detainees that may pose a threat. Additional enhancements to the EARM application and database will address capacity challenges to the system's infrastructure. The enhancements to EARM provide greater utilization and productivity of the system and provide ERO with the ability to perform automated business processes in a timely and efficient manner. This allows agents to spend more time in the field as opposed to performing administrative duties.

These enhancements are critical to increasing efficiencies in the detention and removal process. The funding will allow ERO to complete automated business processes and provide EOIR real-time detainee case information in support of court-based activities and actions.

## **Impact on Performance (Relationship of Increase to Strategic Goals)**

The DROM Program was established to oversee the systems upgrades and improvements of ICE ERO business processes for the detention and removal of illegal aliens from the United States. Specifically, the DROM program is designed to improve:

- real-time reporting, statistics, and metrics on detainees through the detention and removals life cycle;
- detainee case management and tracking;
- detainee bed-space availability management; and
- transportation management.

Automating the tracking process will result in benefits in collecting and retrieving detainee location information. By implementing a modern tracking system with data in electronic format, retrieval will become considerably easier. ERO will be able to answer questions from courts, trace individuals with contagious diseases, and get accurate counts on bed space usage. The new solution will provide the

following abilities:

1. *Identify current detainee location:* Through automatic tracking, the majority of manual data entry activities will be eliminated resulting in a more efficient process and more accurate records. Real-time access to detainee location also improves operational efficiency because less time is spent trying to locate detainees.
2. *Track detainee movement:* Electronic records support more accurate and efficient retrieval of detainee movement and reporting information becomes less of a burden on ERO resources. When combined with case management data or compared to detention standards, detainee location data can improve the overall efficiency and effectiveness of operations.
3. *Identify detainees:* Through biometrics, detainee identification can be verified at more points during the detention and removal life cycle and also verify that the correct detainee is selected for transport.
4. *Validate the length of detention at a facility.*
5. *Improved reporting:* Reports will provide advanced views about detainee population characteristics and improve management and forecasting of the detainee population. The system will be able to report on adherence to detention standards by location, length of detention, and detainee population by characteristics.

The DROM release schedule is as follows:

FY2011				FY2012				FY2013			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
			<p>EARM v3.2</p> <p>EARM v4.0</p>								
					<p>EARM (new enhancements, e.g., RCA)</p>				<p>EARM (enhanced capabilities)</p>		

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Automation Modernization**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Electronic Health Records  
PPA:  
Program Increase: Positions 0, FTE 0, Dollars \$3,500

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	3,500
<b>Total Request</b>	-	-	<b>8,420</b>	-	-	<b>8,420</b>	-	-	<b>3,500</b>

**Description of Item**

The objective of the Electronic Health Records (eHR) System is to replace multiple systems and manual processes with a centralized eHR system that supports comprehensive medical services management for ICE detainees. The eHR System will enable full life cycle oversight and management of detainee healthcare. Extensions and new capabilities will be delivered on an annual basis after the initial release. The centralized eHR system will:

- streamline the care provided to detainees;
- automate medical documentation reducing staff paper workloads;
- enhance Immigration Health Services Corps (IHSC) medical management and oversight;
- enhance the standardization of care provided to detainees;
- reduce risk and legal liability of the overall system; and
- improve the accuracy and timeliness of Enforcement and Removal Operations (ERO) and IHSC metrics.

*Non-Personnel Costs (\$3.5 million):*

Key System Interfaces (\$1.5 million) - funding will support partial development of interfaces with key DHS systems, such as EARM, as well as with key external systems, such as the Bureau of Prisons' Sentry system.

Development of eHR Core Module (\$2.0 million) - funding will support initial development of an integrated electronic medical records system with basic core functionality for clinic support.



## **Justification**

Medical encounters with detainees are recorded in paper-based systems and disparate IT applications throughout the ICE environment. The requested funds will increase application interoperability integration, and information availability between sites. Additionally, the funding will support critical components available in current Health Information Technology (HIT) systems needed to become certified by the (federally endorsed) Commission on the Certification of Health Information Technology (CCHIT) as well as meet compliance with the 2004 Executive Order, President's Health Information Technology Plan, and other applicable HIT guidelines.

The FY 2013 request will provide the needed capability for ERO to increase the speed and efficiency of submittal and approval of treatment authorization requests (TARs), and to interface with other Federal systems (e.g., ENFORCE, the Bureau of Prisons' Sentry, and Plexus) necessary to track detainees across multiple instances of detention.

Funding is requested to:

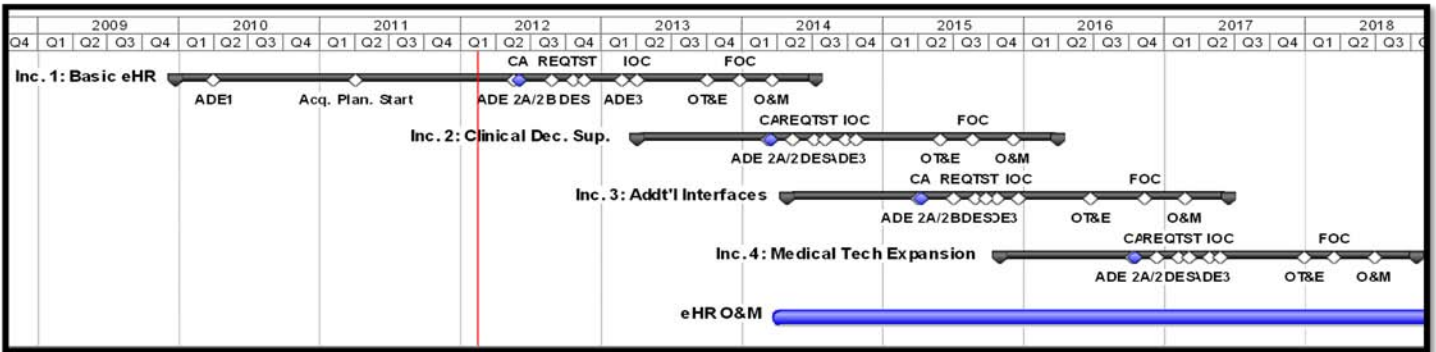
1. Remediate quality-of-care issues and duplicative costs, such as those identified in the 2008 DHS Office of Inspector General (OIG) report (OIG-08-52);
2. Improve current systemic problems, including:
  - a. Inadequate medical and data-tracking to manage care and compliance with detention standards;
  - b. Medical and custody decision-making information not available on a timely basis;
  - c. Significant risk of avoidable medical errors delivering detainee health care; and
  - d. Deployed detection of potentially serious public health issues.
3. Replace obsolete, legacy Health IT applications (CaseTrakker, MedEZ, CIPS); and
4. Improve medical operational effectiveness and efficiency.

## **Impact on Performance (Relationship of Increase to Strategic Goals)**

The objective of the eHR Program is to acquire and deploy a new system that supports comprehensive medical services management for ICE detainees, which will replace multiple systems and manual processes by leveraging advancements in the Health Care IT Industry.

Estimated eHR milestone schedule:

## Program Level



## eHR-S Increment-1 Project Level



**Legend:**  
 IOC – Deployed to 3 Pilot Sites  
 FOC – Deployed to all 22 IHSC sites and stable  
 OT&E – Observation at Pilot Sites  
 All Dates are Government Fiscal Year

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Automation Modernization**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Law Enforcement Systems Modernization  
PPA:  
Program Increase: Positions 0, FTE 0, Dollars \$23,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	23,000
<b>Total Request</b>	-	-	<b>23,906</b>	-	-	<b>23,906</b>	-	-	<b>23,000</b>

**Description of Item**

The ICE Law Enforcement Systems Modernization (LESM) initiative includes a number of case management, information-sharing, and operational support projects that will improve ICE law enforcement personnel’s access to law enforcement information.

*Non-Personnel Costs (\$23.0 million)*

TECS Modernization - The ICE TECS Modernization program will focus on implementing Core Case Management (CCM) functionality and discontinuing the use of the legacy TECS mainframe by FY 2015. Any existing legacy TECS functionality that is not part of CCM will be deferred to a later release. This will allow ICE to target a CCM system that supports its mission and avoids incurring an annual \$23.6 million legacy TECS operations and maintenance (O&M) cost.

**Justification**

Funding for the LESM initiative will provide ICE with improved interoperability with DHS and other Federal law enforcement and homeland security intelligence analysis toolsets; enhanced quality law enforcement information sharing within and external to DHS; and improved collection of more consistent, timely, and accurate performance information on law enforcement activities and outcomes. It will expand the ability of DHS to collect data using Federal standardized data formats and support investigators with a primary source for information sharing within the Information Sharing Environment and national law enforcement (LE) community.

The TECS Modernization effort will support the investigative arm of ICE and update a 20-year-old legacy system, giving ICE improved capabilities for case management, money laundering tracking and reporting, telephone analysis, intelligence reporting and dissemination, Bank Secrecy Act data access, information sharing of subject record data, and statistical/performance reporting.

ICE will save an annual \$23.6 million legacy TECS O&M cost when the functionality specific to the ICE mission is moved off the mainframe by the time CBP discontinues its use of legacy TECS.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

The modernized TECS system will strengthen and unify DHS O&M by increasing interoperability and improving operations, resource utilization, and management decision making.

Some of the most important TECS Modernization functional improvements are:

- Information sharing and access with other law enforcement agencies (Federal, tribal, State and local);
- Search capabilities through structured and unstructured queries;
- Data quality and integration through auto population of data between systems and removal of duplicate data entry;
- Case management functionality by visually linking subjects and personalizing user homepage for quick access to desired information;
- Deliver intelligence-driven and other situational data to the front line;
- Automate support for investigative, law enforcement, and intelligence reporting and dissemination of unclassified information; and
- Update user interface to streamline processes and simplify user interactions.

Additional technical improvements include:

- Interoperability with other systems;
- Alignment to DHS/ICE architecture standards for long-term sustainability;
- Reduced support costs and flexibility to quickly meet evolving mission needs; and
- An environment with limited planned outages.

**V. Exhibits and Other Supporting Material**  
**A. Justification of Proposed Legislative Language**

For expenses of immigration and customs enforcement automated systems, [\$21,710,000] \$30,500,000 to remain available until September 30, [2016] 2017.

*(Department of Homeland Security Appropriations Act, 2012.)*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Automation Modernization  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>36</b>	<b>36</b>	<b>73,762</b>
<b>FY 2012 Enacted Budget Authority<sup>2</sup></b>	<b>-</b>	<b>-</b>	<b>21,710</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Termination of one-time costs	<b>-</b>	<b>-</b>	<b>(21,710)</b>
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(21,710)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>(21,710)</b>
<b>FY 2013 Current Services</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Detention and Removal Operations Modernization	<b>-</b>	<b>-</b>	<b>4,000</b>
Electronic Health Records	<b>-</b>	<b>-</b>	<b>3,500</b>
Law Enforcement Systems Modernization	<b>-</b>	<b>-</b>	<b>23,000</b>
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>30,500</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>30,500</b>
<b>FY 2013 Requested Budget Authority</b>	<b>-</b>	<b>-</b>	<b>30,500</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>8,790</b>

In FY 2012, ICE transferred 36 positions and 36 FTE to the Salaries and Expenses appropriation.

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<sup>2</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$10.0 million, pursuant to P.L. 112-74.

## C. Summary of Requirements

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Automation Modernization**  
 Summary of Requirements  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	36	36	73,762
FY 2012 Enacted Budget Authority <sup>3</sup>	-	-	21,710
<b>Adjustments-to-Base</b>	-	-	-
Decreases	-	-	(21,710)
<b>Total, Adjustments-to-Base</b>	-	-	<b>(21,710)</b>
FY 2013 Current Services	-	-	-
<b>Program Changes</b>	-	-	-
Increases	-	-	30,500
<b>Total, Program Changes</b>	-	-	<b>30,500</b>
FY 2013 Requested Budget Authority	-	-	30,500
FY 2012 to FY 2013 Total Change	-	-	8,790

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Automation Modernization	-	-	21,710	-	-	(21,710)	-	-	30,500	-	-	30,500	-	-	8,790
<b>Total</b>	-	-	<b>21,710</b>	-	-	<b>(21,710)</b>	-	-	<b>30,500</b>	-	-	<b>30,500</b>	-	-	<b>8,790</b>

<sup>3</sup> FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$10.0 million, pursuant to P.L. 112-74.

**D. Summary of Reimbursable Resources**

N/A



## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Automation Modernization**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	520	-	-	-
11.5 Other personnel compensation	6	-	-	-
12.1 Benefits	157	-	-	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>683</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	84	276	188	(88)
22.0 Transportation of things	165	-	1	1
23.2 Other rent	125	11	15	4
23.3 Communications, utilities, and misc. charges	54	51	53	2
25.1 Advisory and assistance services	50,104	19,888	28,140	8,252
25.2 Other services	10,117	-	-	-
25.7 Operation and maintenance of equipment	596	-	-	-
26.0 Supplies and materials	12	6	9	3
31.0 Equipment	10,990	1,478	2,094	616
32.0 Land & structures	832	-	-	-
<b>Total, Other Object Classes</b>	<b>73,079</b>	<b>21,710</b>	<b>30,500</b>	<b>8,790</b>
<b>Total, Direct Obligations</b>	<b>73,762</b>	<b>21,710</b>	<b>30,500</b>	<b>8,790</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	33	23	23	-
Unobligated balance, start of year	31	33	23	(10)
Recoveries of Prior Year Obligations	2	-	-	-
<b>Total Requirements</b>	<b>73,762</b>	<b>21,710</b>	<b>30,500</b>	<b>8,790</b>
<b>Full Time Equivalents</b>	<b>36</b>	-	-	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Automation Modernization  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
GS-14	26	-	-	-
GS-13	2	-	-	-
GS-12	7	-	-	-
GS-9	1	-	-	-
<b>Total Permanent Positions</b>	<b>36</b>	<b>-</b>	<b>-</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	36	-	-	-
Headquarters	36	-	-	-
<b>Total, Automation Modernization</b>	<b>36</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>36</b>	<b>-</b>	<b>-</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	109,847	-	-	-
Average Grade	13	-	-	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justification

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Automation Modernization**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	520	-	-	-
11.5 Other personnel compensation	6	-	-	-
12.1 Benefits	157	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>683</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	84	276	188	(88)
22.0 Transportation of things	165	-	1	1
23.2 Other rent	125	11	15	4
23.3 Communications, utilities, and misc. charges	54	51	53	2
25.1 Advisory and assistance services	50,104	19,888	28,140	8,252
25.2 Other services	10,117	-	-	-
25.7 Operation and maintenance of equipment	596	-	-	-
26.0 Supplies and materials	12	6	9	3
31.0 Equipment	10,990	1,478	2,094	616
32.0 Land & structures	832	-	-	-
<b>Total, Other Object Classes</b>	<b>73,079</b>	<b>21,710</b>	<b>30,500</b>	<b>8,790</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	33	23	23	-
Unobligated Balance, end of year	31	33	23	(10)
Recoveries of Prior Year Obligations	2	-	-	-
<b>Total Requirements</b>	<b>73,762</b>	<b>21,710</b>	<b>30,500</b>	<b>8,790</b>
<b>Full Time Equivalents</b>	<b>36</b>	-	-	-

### Automation Modernization Mission Statement

In FY 2013, ICE has included three information technology (IT) transformational initiatives in the Automation Modernization program: ICE Law Enforcement Systems Modernization - TECS Modernization, Detention and Removal Operations Modernization, and Electronic Health Records. The Automation Modernization program will allow ICE to improve information sharing across the DHS and ICE organizations, strengthen information availability, improve detainee tracking and preparation of travel documents, provide a fully secure IT environment, and enhance financial management and audit practices.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	520	-	-	-
11.5 Other personnel compensation	6	-	-	-
12.1 Benefits	157	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>683</b>	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$84	\$276	\$188	-\$88

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of Things	\$165	0	\$1	\$1

Transportation of Things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$125	\$11	\$15	\$4

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$54	\$51	\$53	\$2

Communications, Utilities, and Miscellaneous Charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services, including Blackberry/pager/cellular phones.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$50,104	\$19,888	\$28,140	\$8,252

Advisory and Assistance Services include services acquired by contract from non-Federal sources (i.e. the private sector, foreign governments, State and local governments, Tribes), as well as from other units within the Federal Government. Because of the reduction in appropriation for Automation Modernization, ICE has subsequently reduced the amount spent on advisory and assistance services, which funds most IT system development activities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$12	\$6	\$9	\$3

Supplies and Materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use; (b) converted in the process of construction or manufacture; (c) used to form a minor part of equipment or property; or (d) other property of little monetary value that does not meet any of the three criteria listed, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$10,990	\$1,478	\$2,094	\$616

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>36</b>	<b>36</b>	<b>-</b>
<b>Increases</b>			
<b>Decreases</b>			
FY 2012 Transfer to Salaries and Expenses	-	(36)	-
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(36)</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>36</b>	<b>-</b>	<b>-</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>(36)</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A



**K. DHS Balanced Workforce Strategy**

N/A

# Department of Homeland Security

## *U.S. Immigration and Customs Enforcement Construction*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Immigration and Customs Enforcement Construction**

### **I. Appropriation Overview**

#### **A. Mission Statement for Construction:**

Immigration and Customs Enforcement (ICE) maintains 18 ICE-owned and directly leased facilities and provides housing, processing, medical, administrative, and support facilities needed to assist and meet the needs of Enforcement and Removal Operations (ERO) and other ICE programs and Department of Homeland Security (DHS) tenants. The construction account funds are available until expended.

#### **B. Budget Activities:**

With the Construction account, ICE has the authority to plan, design, and construct housing and processing, medical, administrative, and support facilities to support the detention of aliens, as well as perform repair and alteration of existing structures.

#### **C. Budget Request Summary:**

ICE requests \$5 million to fund critical repairs and maintenance. Critical projects include: items that pose a life, health or safety issue, items such as adding additional space in processing, medical, administrative, and support facilities, and capital and non-capital improvement projects to replace critical systems that are approaching their maximum life expectancy.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Immigration and Customs Enforcement Construction

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Construction	-	-	16,476	-	-	-	-	-	5,000	-	-	5,000	-	-	5,000	-	-	-
<b>Total, Construction</b>	-	-	<b>16,476</b>	-	-	-	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	-
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>16,476</b>	-	-	-	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	-
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>16,476</b>	-	-	-	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Construction  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Construction**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>16,476</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
<b>2013 Current Services</b>	-	-	-
2013 Program Change	-	-	5,000
<b>2013 Total Requested Budget Authority</b>	-	-	<b>5,000</b>
Total Change 2012 to 2013	-	-	5,000

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Construction resources are authorized for necessary expenses to plan, construct, renovate, equip, maintain, and repair ICE-owned facilities necessary for administration and enforcement of the laws relating to customs and immigration. These ICE-owned facilities support the detention of aliens including general housing, medical screening, processing, administrative support and legal proceedings. These facilities accommodate approximately 4,000 ICE detainees, approximately 12 percent of the total population. In addition, ICE-owned facilities are utilized to support ICE field operations such as investigations, legal and administrative support functions. This includes Homeland Security Investigations, the Office of the Principal Legal Advisor, the Office of Professional Responsibility, the National Firearms Tactical Training Unit, and others.

The ICE-owned portfolio consists of approximately 1.5 million square feet of space at eighteen (18) sites.

Enforcement Removal Operations (ERO), as the primary tenant, operates Service Processing Centers (SPCs) and related mission operations at six of the ICE-owned sites. The active SPC locations are: Batavia, New York; El Centro, California; El Paso, Texas; Florence, Arizona; Miami, Florida; and Los Fresnos, Texas.

Other ICE-owned facilities include space for Border Enforcement Security Task Forces (BEST), Criminal Alien Program (CAP) teams, the National Firearms Tactical Training Unit, and tactical communications and other office space at these locations for ICE programs: Aguadilla, Puerto Rico; San Pedro, California; Altoona, Pennsylvania; Broadview, Illinois; Calipatria, California; Fishkill,

New York; Guam; Honolulu, Hawaii; Huntsville, Texas; Oakdale, Louisiana; St. Thomas, U.S. Virgin Islands; and St. Croix, U.S. Virgin Islands.

ICE Construction Program funds are multi-year, non-expiring funds. For the past 3 years, ICE has reviewed prior year spending to recover and redirect funds to accomplish critical repair and maintenance projects. Critical projects include the repair, replacement or alteration of facilities to address health and safety as well as mission-critical operational issues. Additionally, capital improvement projects are needed to replace critical systems that are approaching or have exceeded their maximum life expectancy (deferred maintenance). This includes updating mechanical systems and other important infrastructure necessary to maintain ICE operations.

In FY 2013, ICE will use any available carry-forward funds and \$5 million in new funding to perform the most-critical repairs and alterations to maintain ICE-owned facilities. As discussed below, ICE has identified the current most-critical projects that will be prioritized and completed in FY 2013; this could change on the basis of any health, life, or safety issues that may arise.

**Budget Change FY 2012 – FY 2013**

<b>Budget Change Detail</b>	
<b>FY 2012 Enacted</b>	<b>0</b>
<b>Program Changes</b>	5,000
<i>Maintenance and Repair of ICE-owned Facilities</i>	<i>5,000</i>
<b>FY 2013 Total</b>	<b>5,000</b>

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Construction  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Maintenance and Repair of ICE-owned Facilities

PPA:

Program Increase: Positions 0, FTE 0, Dollars \$5,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	5,000
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>5,000</b>

### Description of Item

The ICE Construction Program supports ICE Enforcement and Removal Operation (ERO), Homeland Security Investigations, the Office of the Principal Legal Advisor, the Office of Professional Responsibility, and the National Firearms Tactical Training Unit. The program provides funds to build, maintain, and repair ICE-owned operational facilities, such as medical screening, processing, administrative, housing, and support facilities, needed to support the detention of and processing of aliens.

The ICE-owned portfolio consists of approximately 1.5 million square feet of space at eighteen (18) sites. ERO, as the primary tenant, operates Service Processing Centers (SPCs) and related mission operations at six ICE-owned sites. These facilities accommodate approximately 4,000, or 12 percent, of ICE detainees. The other 12 owned locations are used to house and support ICE field operations such as the Border Enforcement Security Task Force, Criminal Alien Program, and other investigations, legal, and administrative staff.

ICE requests \$5 million to provide for critical maintenance and repairs at these facilities.



## **Justification**

ICE Construction Program funds are multi-year non-expiring funds. ICE has diligently reviewed prior fiscal year spending to recover and redirect funds to accomplish most critical repairs for the last 3 years.

Critical projects include the repair, replacement or alteration of facilities to address health and safety as well as mission-critical operational issues. Additionally, capital improvement projects are needed to replace critical systems that are approaching or have exceeded their maximum life expectancy (deferred maintenance). This includes updating mechanical systems and other important infrastructure necessary to maintain ICE operations.

ICE requests \$5 million to address 20 percent of the most-critical maintenance and repair projects that pose a threat to the life and safety of detainees and ICE employees at ICE-owned facilities.

The request will provide for the following projects; these could change on the basis of any health, life, or safety issues that may arise:

<b><u>Facility</u></b>	<b><u>Work Description</u></b>	<b><u>Project Type</u></b>	<b><u>Project Cost</u></b>
Batavia (SPC)	Replace failing heating, ventilation, and air conditioning (HVAC) mechanical systems. Recommended replacement frequency is 10 years. Current system is more than 20 years old.	Critical Deferred Maintenance	\$1,340,000
El Centro (SPC)	Repair and replace deteriorating road and parking infrastructure. Extreme temperature and high volume of traffic is causing accelerated replacement cycle. Repair and re-surface requirement should be every 10 years	Critical Deferred Infrastructure Maintenance	\$650,000
El Paso (SPC)	Install security bi-fold gates at Sally Port and modify compound fencing to improve operations security and safety.	Operational Security	\$600,000
Honolulu	Emergency generator for back-up power to the ICE facility. This is an operational security requirement critical to maintain the detention operation.	Operational Security	\$500,000
Port Isabel (SPC)	Replace perimeter fence line. Proximity to ocean causes corrosion and deterioration. Fencing replacement cycle is 10 years. Existing fence is past the 10-year cycle and is rapidly deteriorating.	Operational Security	\$500,000

Florence (SPC)	Repair and replace deteriorating road and parking infrastructure. Extreme temperature and high volume of traffic is causing accelerated replacement cycle. Repair and re-surface requirement is every 10 years.	Critical Deferred Infrastructure Maintenance	\$450,000
El Paso (SPC)	Repair and replace deteriorating road and parking infrastructure. Extreme temperature and high volume of traffic is causing accelerated replacement cycle. Repairs and re-surface requirement is every 10 years.	Critical Deferred Infrastructure Maintenance	\$300,000
Port Isabel (SPC)	Replace failing HVAC mechanical systems. Recommended replacement frequency is 10 years. Current system is past the 10-year life cycle.	Critical Deferred Maintenance	\$175,000
El Centro (SPC)	Repair/replace complex lighting system to improve site operations security. Current lighting system does not provide enough lumens to provide adequate visibility.	Operational Security	\$150,000
El Paso (SPC)	Construct additional restrooms (male and female) to increase capacity. Current restroom configuration does not meet Americans with Disabilities Act (ADA) standards.	Health and Safety	\$125,000
El Paso (SPC)	Add facility perimeter lighting to improve safety and operations security. Current lighting system does not provide enough lumens to provide adequate visibility.	Health and Safety & Operational Security	\$125,000
El Centro (SPC)	Replace aging oil/water separator. Environmental contamination could occur if the separator is not functioning properly.	Health and Safety	\$85,000
<b>TOTAL</b>			<b>\$5,000,000</b>

**Impact on Performance (Relationship of Increase to Strategic Goals)**

At the requested \$5 million funding level, ICE will remediate the most egregious issues listed in the preceding table. ICE will work to identify recoveries of prior year funds to put toward remaining critical repair and maintenance projects.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For necessary expenses to plan, construct, renovate, equip, and maintain buildings and facilities necessary for the administration and enforcement of the laws relating to customs and immigration, \$5,000,000, to remain available until expended.*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Construction**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	16,476
FY 2012 Enacted Budget Authority	-	-	-
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Total, Transfers	-	-	-
Increases	-	-	-
Total, Increases	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	-
Program Changes	-	-	-
Increases	-	-	-
Maintenance and Repair of ICE-owned Facilities	-	-	5,000
Total, Increases	-	-	5,000
Total, Program Changes	-	-	5,000
FY 2013 Requested Budget Authority	-	-	5,000
FY 2012 to FY 2013 Total Change	-	-	5,000

In FY 2011, \$10,000,000 of unobligated balances available to Construction was permanently canceled.

## C. Summary of Requirements

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Construction**  
 Summary of Requirements  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	16,476
FY 2012 Enacted Budget Authority	-	-	-
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	-
Program Changes	-	-	-
Increases	-	-	5,000
Total, Program Changes	-	-	5,000
FY 2013 Requested Budget Authority	-	-	5,000
FY 2012 to FY 2013 Total Change	-	-	5,000

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Construction	-	-	-	-	-	-	-	-	5,000	-	-	5,000	-	-	5,000
<b>Total</b>	-	-	-	-	-	-	-	-	<b>5,000</b>	-	-	<b>5,000</b>	-	-	<b>5,000</b>

**D. Summary of Reimbursable Resources**

N/A.

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Construction**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.4 O&M of facilities	16,476	-	5,000	5,000
<b>Total, Other Object Classes</b>	<b>16,476</b>	<b>-</b>	<b>5,000</b>	<b>5,000</b>
<b>Total, Direct Obligations</b>	<b>16,476</b>	<b>-</b>	<b>5,000</b>	<b>5,000</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	2	16	16	-
Unobligated balance, start of year	26	2	16	14
Recoveries of Prior Year Obligations	2	14	-	(14)
<b>Total Requirements</b>	<b>16,476</b>	<b>-</b>	<b>5,000</b>	<b>5,000</b>
<b>Full Time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

N/A.



## **G. Capital Investment and Construction Initiative Listing**

The Illegal Immigration Reform and Immigrant Responsibility Act of 1996 and other immigration statutes authorize ICE to detain aliens who are charged with immigration violations, have entered the United States illegally, or have been ordered to leave the country. These aliens can be detained while their immigration proceedings are administered, which in turn facilitates their proper and expedient removal from the country.

The ICE Construction Program provides construction, maintenance, sustainment, and expansion of housing, processing, medical, administrative, and support facilities needed to support the detention of aliens. These projects are part of an ongoing capital investment program that is intended to meet the growing national demand for detention capacity. ICE continues to address the need for bed space and support facilities required to handle the processing and removal of aliens during immigration proceedings, relative to the total number of potentially removable aliens in the country.

### **Facility Repair & Alterations**

#### **1. Project Description, Justification, and Scope**

Repair and alteration projects are continually identified at existing ICE-owned facilities. These projects are not capital construction projects, but maintenance, repair, and alteration projects necessary to maintain government-owned facilities and ensure they comply with life safety and code requirements in support to ICE tenant activities.

#### **2. Significant Changes**

In FY 2013, the no-year Construction account will be used for deferred maintenance, emergency repairs and alterations, and approved capital improvements. Only critical repairs will be funded.

#### **3. Project Schedule**

	<b>Work Initiated</b>	<b>Work Completed</b>	<b>Physical Start</b>	<b>Physical Complete</b>	<b>Total Estimated Cost (000)</b>	<b>Total Project Cost (000)</b>
FY 2013 Budget Request	N/A	N/A	10/01/2012	9/30/2013	\$5,000	\$5,000

**4. Schedule of Project Funding  
(Dollars in Thousands)**

	<b>Prior</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>Total</b>
Obligation (actual and planned)	\$5,000	\$16,476	\$0	\$5,000	\$26,476
Expenditure (actual and planned)	\$5,000	\$16,476	\$0	\$5,000	\$26,476

**5. Cost Estimate Detail and Changes  
(Dollars in Thousands)**

	<b>Current Estimate</b>	<b>Previous Estimate</b>
Construction: \$5,000		
Other costs: \$0		
Project total for FY13: \$5,000		

**6. Method of Performance**

All detention projects are currently planned, managed, and monitored by the ICE Chief Financial Officer, Office of Facilities Administration. ICE entered into a memorandum of understanding (MOU) with the United States Army Corps of Engineers (USACE) to provide environmental documentation, planning, design, construction, procurement, and project management services.

**7. Compliance with Applicable Public Laws, Regulations, Standards, and Executive Orders**

USACE is responsible for ensuring ICE projects comply with all applicable laws, codes, regulations, and standards. The services being provided by USACE are managed and monitored by ICE/OFA.

ICE projects must comply with the following life-safety codes and standards:

- Local building codes or the latest edition of one of the model building codes, and the most current International Building Code
- National Fire Protection Association Standard 101 Life Safety Code
- National Electric Code

ICE OFA must also comply with the ICE Detention Design Guidelines (2002 edition) and the ICE Detention Construction Guidelines (2004 edition).

Handicapped accessibility codes and standards apply to ICE facilities as follows:

- Facilities must comply with the Uniform Federal Accessibility Standards, Federal Standard 795
- Facilities must also comply with the Americans with Disabilities Act Accessibility Guidelines

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Construction**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.4 O&M of facilities	16,476	-	5,000	5,000
<b>Total, Other Object Classes</b>	<b>16,476</b>	<b>-</b>	<b>5,000</b>	<b>5,000</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	2	16	16	-
Unobligated Balance, end of year	26	2	16	14
Recoveries of Prior Year Obligations	2	14	-	(14)
<b>Total Requirements</b>	<b>16,476</b>	<b>-</b>	<b>5,000</b>	<b>5,000</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Construction Mission Statement

The Construction account funds are available until expended. The Construction account uses its resources to plan, construct, renovate, equip and maintain buildings and facilities necessary for the administration and enforcement of customs and immigration laws.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$16,476	0	\$5,000	\$5,000

Operation and Maintenance of Facilities include all payments for such when done by contract with the private sector or another Federal Government account.

## **I. Changes In Full Time Employment**

N/A.

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A.

**K. DHS Balanced Workforce Strategy**

N/A

# Department of Homeland Security

*U.S. Immigration and Customs Enforcement  
Student Exchange and Visitor Program*

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Fiscal Year 2013  
Congressional Justification



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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Immigration and Customs Enforcement Student Exchange and Visitor Program**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Student Exchange and Visitor Program:**

The Student Exchange and Visitor Program's (SEVP's) mission is to enhance national security by collecting, maintaining, and providing reliable information on foreign students, exchange visitors, and the schools and exchange programs that host them. SEVP is an enforcement tool to assist in keeping our Nation safe while facilitating the participation of students and exchange visitors in the academic programs in the United States.

##### **B. Budget Activities:**

SEVP administers for the School Certification Program and manages the Student and Exchange Visitor Information System (SEVIS), a web-based system for maintaining information on international students and exchange visitors (F, M, and J visa classifications) in the United States. SEVP also provides outreach and training for SEVIS users. SEVIS is used by the Compliance Enforcement Unit (CEU) to identify foreign students and exchange visitors who fail to enroll or maintain status at their schools. The CEU also uses SEVIS to identify schools and exchange visitor programs that are not in compliance with regulatory requirements.

##### **C. Budget Request Summary:**

Immigration and Customs Enforcement (ICE) requests \$120 million, 387 positions, and 269 FTE for SEVP in FY 2013. The requested funds will provide the resources needed to fund base requirements for salaries and benefits and operational expenses. A portion of SEVP collections will be used to develop and redeploy an improved SEVIS, which will be known as SEVIS II. As discussed below, SEVIS II deployment has been delayed until November 2014.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Student Exchange and Visitor Program**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Student Exchange and Visitor Program	204	212	103,249	387	289	120,000	387	269	120,000	-	(20)	-	-	-	-	-	(20)	-
<b>Total, Student Exchange and Visitor Program</b>	<b>204</b>	<b>212</b>	<b>103,249</b>	<b>387</b>	<b>289</b>	<b>120,000</b>	<b>387</b>	<b>269</b>	<b>120,000</b>	<b>-</b>	<b>(20)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(20)</b>	<b>-</b>
Subtotal, Enacted Appropriations and Budget Estimates	204	212	103,249	387	289	120,000	387	269	120,000	-	(20)	-	-	-	-	-	(20)	-
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>204</b>	<b>212</b>	<b>103,249</b>	<b>387</b>	<b>289</b>	<b>120,000</b>	<b>387</b>	<b>269</b>	<b>120,000</b>	<b>-</b>	<b>(20)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(20)</b>	<b>-</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Student Exchange and Visitor Program  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Student Exchange and Visitor Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>204</b>	<b>212</b>	<b>103,249</b>
<b>2012 Enacted Budget Authority</b>	<b>387</b>	<b>289</b>	<b>120,000</b>
2013 Adjustments-to-Base	-	(20)	-
<b>2013 Current Services</b>	<b>387</b>	<b>269</b>	<b>120,000</b>
<b>2013 Total Requested Budget Authority</b>	<b>387</b>	<b>269</b>	<b>120,000</b>
Total Change 2012 to 2013	-	(20)	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Student Exchange and Visitor Program (SEVP) enhances national security by managing the collection, maintenance, and use of information regarding F and M nonimmigrant foreign students and J exchange visitors. SEVP certifies schools to enroll F and M students. The Department of State designates exchange visitor programs. SEVP facilitates F and M student participation in academic and vocational programs in the United States while ensuring that school certification is not used to permit aliens to illegally enter and reside in the United States. SEVP information, combined with information from law enforcement data systems, is fundamental to identify and investigate immigration benefit fraud perpetrated by individuals and schools or programs attempting to exploit or harm the United States and its people.

**QHSR Alignment**

**3.2**  
Prevent Unlawful Immigration

**ICE Strategic Plan Alignment**

**3.4**  
Protect the Integrity of the Immigration System

**Student and Exchange Visitor Program Highlights**

**School Recertification Program:** The Enhanced Border Security and Visa Entry Reform Act of 2002 mandated that the Department of Homeland Security (DHS) conduct recertification of certified schools every 2 years. SEVP reviews previously certified schools and adjudicates the recertification to affirm compliance with recordkeeping, retention, and reporting regulations and requirements. The focus of recertification is past performance coupled with a review to ensure that the school maintains its basic eligibility for initial certification. The process may include an on-site review. Approximately 10,368

schools have been certified by SEVP. As of the end of 2011, U.S. Immigration and Customs Enforcement (ICE) recertified 1,811 schools from the 2,667 schools that had successfully submitted a recertification package.

**Field Representatives:** SEVP has developed a Field Representative initiative to recruit and develop a highly trained nationwide cadre of Liaison Officers to coordinate the operation of the SEVIS system and the future deployment of SEVIS II. The Field Representatives will provide comprehensive training to ensure stakeholder understanding, acceptance, and compliance with immigration laws, regulations, and SEVP policies and procedures, as well as the stakeholder benefits of SEVIS and SEVIS II implementations. They will receive a regimen of training in all aspects of SEVP to provide full service to stakeholders regarding the application of immigration law with respect to SEVP and SEVIS II deployment. The Field Representatives will be located in ICE Special Agent-In-Charge offices across the United States to ensure proximity and availability to stakeholders including more than 10,000 SEVP certified schools. The Field Representative initiative will help SEVP establish a more proactive relationship with stakeholders that will foster communication, optimal compliance with immigration laws and regulations, and greater data integrity in SEVIS and SEVIS II.

*SEVP provides excellent customer service to law enforcement partners and fee contributors. The customer satisfaction rate of SEVIS users is 98 percent in an industry where 90 percent is the benchmark.*

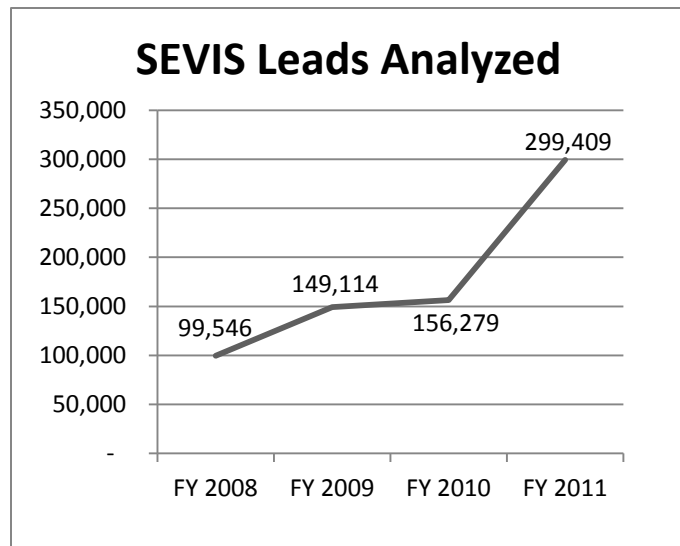
**ICE Counterterrorism and Criminal Exploitation Unit (CTCEU)**

SEVP plays a key role in the efforts of ICE to prevent terrorists and other criminals from exploiting our Nation’s immigration and visitor system. The CTCEU, a part of ICE’s Homeland Security Investigations program, uses SEVIS data to identify F and M students and J exchange visitors who fail to enroll in school or their programs, maintain their status, or otherwise violate the terms of their visa status. CTCEU analyzes and refers school fraud criminal investigation leads to the respective ICE field office. It implements and manages an Agent/SEVIS School Outreach Program that educates others about potential SEVP exploitation. During Fiscal Year (FY) 2011, HSI Special Agents initiated 151 outreach presentations to SEVP-approved academic institutions nationwide. The program also improves communication between designated school officials and HSI field agents and provides subject matter expertise to partnering agencies when exploitation is suspected. In FY 2011, CTCEU analyzed 299,409 SEVP leads, an increase of 48 percent from FY 2010. CTCEU also responded to 190 requests for analysis to support major criminal cases. This is 27 percent higher than the 147 requests for analytical support in FY 2010.

**Student and Exchange Visitor Information System**

SEVP administers SEVIS, which allows ICE to collect, maintain, and provide information on foreign students, exchange visitors, and their dependents on F, M, and J visas while studying in the United States. SEVIS also maintains information on the schools and program sponsors authorized to use SEVIS and host F and M students and J exchange visitors. SEVIS assists in the identification of those who are not in compliance with visa rules and immigration law and who may be a threat to national security.

SEVIS is a web-based system that provides real-time, up-to-date information on F, M, and J visa holders. The system can be accessed at any time, making it an effective law enforcement tool used by other agencies within DHS and the Departments of State (DOS) and Justice. SEVIS is used by the ICE CTCEU to identify F and M students and J exchange visitors who fail to enroll or maintain status at their schools or programs. SEVP and CTCEU also use SEVIS to identify schools and exchange visitor programs that are not in compliance with regulatory requirements. Information maintained in SEVIS is instrumental in supporting ICE's role in conducting visa fraud and human smuggling investigations that identify and prosecute criminal organizations involved in the transporting and harboring of illegal aliens into the United States. In FY 2011, SEVP implemented three updates to SEVIS, adding functionality and improving performance.



### ***SEVIS II***

In FY 2011, SEVP continued the technical development of the second generation of SEVIS (i.e., SEVIS II) to fundamentally modernize information collection and tracking F, M, and J non-immigrants, SEVP-certified schools, and DOS-designated exchange visitor programs. SEVIS II will provide system interoperability to better meet the needs of the intelligence and enforcement communities and fundamentally improve capability to track and monitor individuals; integrate more seamlessly with other intelligence systems; provide real-time critical individual-based information; and eliminate critical vulnerabilities through interoperability with all stakeholder data systems to track and monitor individuals rather than records.

Because of repeated revisions to the SEVIS II development process as well as ongoing oversight of the SEVIS II acquisition by the Department's Acquisition Review Board, SEVIS II is currently planned for deployment in November 2014 at the earliest.

### **SEVP Fees**

All SEVP operations, including services provided by other ICE offices, are paid for by fees collected from students, exchange visitors, and schools. No appropriated funds are used to support SEVP. All prospective students and exchange visitors are required to pay an SEVP processing fee using the Form I-901 prior to seeking a visa at consulates and embassies overseas. Current fees are \$200 for F and M visa holders and \$180 or \$35 for J exchange visitors, depending on the purpose of their visit. This fee, in addition to the fees collected from schools seeking certification to host F and M students, provides the full funding for SEVP, including CTCEU agents that support enforcement of SEVP policies and regulations.

Statutory and regulatory guidance requires SEVP to review its fee structure every 2 years to ensure that the costs of the services that are provided are fully captured by fees assessed on those receiving the

services. The latest fee study was completed in the 2<sup>nd</sup> Quarter of FY 2011. The study concluded that no fee increase will be required for FY 2013 FY 2014.

#### **IV. Program Justification Changes**

**N/A**



## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Student Exchange and Visitor Program  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	204	212	103,249
FY 2012 Enacted Budget Authority	387	289	120,000
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Decreases	-	-	-
FTE Reduction	-	(20)	-
Total, Decreases	-	(20)	-
Total, Adjustments-to-Base	-	(20)	-
FY 2013 Current Services	387	269	120,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	387	269	120,000
FY 2012 to FY 2013 Total Change	-	(20)	-

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Student Exchange and Visitor Program  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	204	212	103,249
FY 2012 Enacted Budget Authority	387	289	120,000
Adjustments-to-Base	-	-	-
Decreases	-	(20)	-
Total, Adjustments-to-Base	-	(20)	-
FY 2013 Current Services	387	269	120,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	387	269	120,000
FY 2012 to FY 2013 Total Change	-	(20)	-

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Student Exchange and Visitor Program	387	289	120,000	-	(20)	-	-	-	-	387	269	120,000	-	(20)	-
<b>Total</b>	<b>387</b>	<b>289</b>	<b>120,000</b>	<b>-</b>	<b>(20)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>387</b>	<b>269</b>	<b>120,000</b>	<b>-</b>	<b>(20)</b>	<b>-</b>

**D. Summary of Reimbursable Resources**

N/A.

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Student Exchange and Visitor Program**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	18,529	28,451	28,451	-
11.3 Other than full-time permanent	174	-	-	-
11.5 Other personnel compensation	3,327	7,746	7,746	-
12.1 Benefits	8,353	11,585	11,585	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>30,383</b>	<b>47,782</b>	<b>47,782</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,278	2,727	2,727	-
22.0 Transportation of things	100	65	65	-
23.1 GSA rent	22	-	-	-
23.2 Other rent	800	-	-	-
23.3 Communications, utilities, and misc. charges	637	1,210	1,210	-
25.1 Advisory and assistance services	30,299	22,216	22,216	-
25.2 Other services	17,561	6,328	6,328	-
25.3 Purchases from Gov't accts.	1,865	16,733	16,733	-
25.6 Medical care	-	124	124	-
25.7 Operation and maintenance of equipment	14,342	17,265	17,265	-
26.0 Supplies and materials	1,474	1,986	1,986	-
31.0 Equipment	2,756	3,564	3,564	-
32.0 Land & structures	1,700	-	-	-
91.0 Unvouchered	32	-	-	-
<b>Total, Other Object Classes</b>	<b>72,866</b>	<b>72,218</b>	<b>72,218</b>	-
<b>Total, Direct Obligations</b>	<b>103,249</b>	<b>120,000</b>	<b>120,000</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	132,174	135,174	135,174	-
Unobligated balance, start of year	104,366	132,174	135,174	3,000
Recoveries of Prior Year Obligations	108	3,000	-	(3,000)
<b>Total Requirements</b>	<b>103,249</b>	<b>120,000</b>	<b>120,000</b>	-
<b>Full Time Equivalents</b>	<b>212</b>	<b>289</b>	<b>269</b>	<b>(20)</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Student Exchange and Visitor Program  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
GS-15	8	9	9	-
GS-14	36	55	55	-
GS-13	94	122	122	-
GS-12	13	29	29	-
GS-11	24	37	37	-
GS-9	24	83	83	-
GS-7	5	14	14	-
GS-5	-	38	38	-
<b>Total Permanent Positions</b>	<b>204</b>	<b>387</b>	<b>387</b>	-
Unfilled Positions EOY	-	92	0	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	30	35	35	-
U.S. Field	172	352	352	-
Foreign Field	2	-	-	-
<b>Total, Student Exchange and Visitor Program</b>	<b>204</b>	<b>387</b>	<b>387</b>	-
<b>Full Time Equivalents</b>	<b>212</b>	<b>289</b>	<b>269</b>	<b>(20)</b>
Average ES Salary	-	-	-	-
Average GS Salary	134,996	134,996	134,996	-
Average Grade	13	13	13	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Student Exchange and Visitor Program**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	18,529	28,451	28,451	-
11.3 Other than full-time permanent	174	-	-	-
11.5 Other personnel compensation	3,327	7,746	7,746	-
12.1 Benefits	8,353	11,585	11,585	-
<b>Total, Personnel and Compensation Benefits</b>	<b>30,383</b>	<b>47,782</b>	<b>47,782</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,278	2,727	2,727	-
22.0 Transportation of things	100	65	65	-
23.1 GSA rent	22	-	-	-
23.2 Other rent	800	-	-	-
23.3 Communications, utilities, and misc. charges	637	1,210	1,210	-
25.1 Advisory and assistance services	30,299	22,216	22,216	-
25.2 Other services	17,561	6,328	6,328	-
25.3 Purchases from Gov't accts.	1,865	16,733	16,733	-
25.6 Medical care	-	124	124	-
25.7 Operation and maintenance of equipment	14,342	17,265	17,265	-
26.0 Supplies and materials	1,474	1,986	1,986	-
31.0 Equipment	2,756	3,564	3,564	-
32.0 Land & structures	1,700	-	-	-
91.0 Unvouchered	32	-	-	-
<b>Total, Other Object Classes</b>	<b>72,866</b>	<b>72,218</b>	<b>72,218</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	132,174	135,174	135,174	-
Unobligated Balance, end of year	104,366	132,174	135,174	3,000
Recoveries of Prior Year Obligations	108	3,000	-	(3,000)
<b>Total Requirements</b>	<b>103,249</b>	<b>120,000</b>	<b>120,000</b>	-
<b>Full Time Equivalents</b>	<b>212</b>	<b>289</b>	<b>269</b>	<b>(20)</b>

### Student Exchange and Visitor Program Mission Statement

The Student and Exchange Visitor Program (SEVP) administers the School Certification Program and manages the Student and Exchange Visitor Information System (SEVIS), a web-based system for maintaining information on international students and exchange visitors (F, M, J visa classification) in the United States. SEVIS is designed to keep our nation safe while facilitating the participation of students and exchange visitors seeking to study in the United States.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	18,529	28,451	28,451	-
11.3 Other than full-time permanent	174	-	-	-
11.5 Other personnel compensation	3,327	7,746	7,746	-
12.1 Benefits	8,353	11,585	11,585	-
<b>Total, Salaries &amp; Benefits</b>	<b>30,383</b>	<b>47,782</b>	<b>47,782</b>	-

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>204</b>	<b>212</b>	<b>289</b>
<b>Increases</b>			
FTE Adjustment	8	-	-
Filling new CTCEU positions	-	43	-
Filling vacant CTCEU positions	-	18	-
SEVIS II rollout	-	30	-
<b>Subtotal, Increases</b>	<b>8</b>	<b>91</b>	<b>-</b>
<b>Decreases</b>			
FTE Reduction	-	(14)	(20)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(14)</b>	<b>(20)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>212</b>	<b>289</b>	<b>269</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>8</b>	<b>77</b>	<b>(20)</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Student Exchange and Visitor Program	\$48	\$118	\$173	\$55
<b>Total Working Capital Fund</b>	<b>48</b>	<b>118</b>	<b>173</b>	<b>55</b>

**K. DHS Balanced Workforce Strategy**

N/A

# Department of Homeland Security

## *U.S. Immigration and Customs Enforcement Breached Bond Detention Fund*

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Fiscal Year 2013  
Congressional Justification

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<b>BUDGET REQUEST AND SUPPORTING INFORMATION</b>
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**U.S. Immigration and Customs Enforcement  
Breached Bond Detention Fund**

**I. Appropriation Overview**

**A. Mission Statement for Breached Bond Detention Fund:**

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond Detention Fund. The first \$8 million in breached cash and surety bonds collected are allocated to the General Fund. All collections in excess of \$8 million are deposited as offsetting collections into this fund.

**B. Budget Activities:**

Amounts deposited into the Breached Bond Detention Fund can be used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in their obligations, and for expenses associated with the detention of criminal and illegal aliens. Funds remain available until expended.

**C. Budget Request Summary:**

For FY 2013, ICE requests \$75 million for new collections and corresponding spending authority. ICE uses this money as part of its overall detention budget, and in FY 2013, this funding will allow ICE to fund an estimated 1,460 detention beds and related costs such as healthcare and compliance oversight.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security U.S. Immigration and Customs Enforcement Breached Bond Detention Fund

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Breached Bond Detention Fund	13	-	68,459	-	-	75,000	-	-	75,000	-	-	-	-	-	-	-	-	-
<b>Total, Breached Bond Detention Fund</b>	<b>13</b>	<b>-</b>	<b>68,459</b>	<b>-</b>	<b>-</b>	<b>75,000</b>	<b>-</b>	<b>-</b>	<b>75,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Subtotal, Enacted Appropriations and Budget Estimates	13	-	68,459	-	-	75,000	-	-	75,000	-	-	-	-	-	-	-	-	-
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>13</b>	<b>-</b>	<b>68,459</b>	<b>-</b>	<b>-</b>	<b>75,000</b>	<b>-</b>	<b>-</b>	<b>75,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>



### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Breached Bond Detention Fund  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Breached Bond Detention Fund**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>13</b>	-	<b>68,459</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>75,000</b>
<b>2013 Current Services</b>	-	-	<b>75,000</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>75,000</b>
Total Change 2012 to 2013	-	-	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Breached Bond Detention Fund is authorized by Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond/Detention Fund. The first \$8 million in breached cash and surety bonds collected are allocated to the General Fund. All collections in excess of the first \$8 million are deposited as offsetting collections into this fund. Amounts deposited into the fund, which remain available until expended, are available for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of aliens.

In FY 2013, ICE will use \$65 million of these resources to fund 1,460 detention beds, using a projected \$122 average daily rate of detention, which includes related costs such as healthcare. The remaining \$10 million will be used to support the Bond Management Unit (BMU). The BMU supports field operations by providing guidance related to immigration bond management, and ensures field compliance with bond laws, regulations, policies, and procedures through training, site visits, and technical oversight. The BMU also coordinates with other Immigration and Customs Enforcement (ICE) programs to facilitate the timely resolution of bond litigation issues as well as financial reporting to ICE leadership.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Breached Bond Detention Fund**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	13	-	68,459
FY 2012 Enacted Budget Authority	-	-	75,000
Adjustments-to-Base	-	-	-
Transfers	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	-	-	<b>75,000</b>
Program Changes	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>75,000</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	-

In FY 2012, ICE will transfer 13 positions to the annual Salaries and Expenses appropriation.

## C. Summary of Requirements

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Breached Bond Detention Fund**  
 Summary of Requirements  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	13	-	68,459
FY 2012 Enacted Budget Authority	-	-	75,000
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	75,000
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	-	-	75,000
FY 2012 to FY 2013 Total Change	-	-	-

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Breached Bond Detention Fund	-	-	75,000	-	-	-	-	-	-	-	-	75,000	-	-	-
<b>Total</b>	-	-	<b>75,000</b>	-	-	-	-	-	-	-	-	<b>75,000</b>	-	-	-

**D. Summary of Reimbursable Resources**

N/A.

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Breached Bond Detention Fund**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.8 Special Service Pay	5	-	-	-
12.1 Benefits	1	-	-	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>6</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,052	1,075	1,075	-
22.0 Transportation of things	7	-	-	-
23.3 Communications, utilities, and misc. charges	329	375	375	-
25.1 Advisory and assistance services	2,470	2,520	2,520	-
25.2 Other services	765	780	780	-
25.4 O&M of facilities	63,099	65,000	65,000	-
25.6 Medical care	-	4,440	4,440	-
26.0 Supplies and materials	668	685	685	-
31.0 Equipment	63	115	115	-
32.0 Land & structures	-	10	10	-
<b>Total, Other Object Classes</b>	<b>68,453</b>	<b>75,000</b>	<b>75,000</b>	<b>-</b>
<b>Total, Direct Obligations</b>	<b>68,459</b>	<b>75,000</b>	<b>75,000</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	11,391	12,391	12,391	-
Unobligated balance, start of year	27,950	11,391	12,391	1,000
Recoveries of Prior Year Obligations	442	1,000	-	(1,000)
<b>Total Requirements</b>	<b>68,459</b>	<b>75,000</b>	<b>75,000</b>	<b>-</b>
<b>Full Time Equivalents</b>	-	-	-	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Breached Bond Detention Fund  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
GS-9	13	-	-	-
<b>Total Permanent Positions</b>	<b>13</b>	<b>-</b>	<b>-</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	13	-	-	-
U.S. Field	13	-	-	-
<b>Total, Breached Bond Detention Fund</b>	<b>13</b>	<b>-</b>	<b>-</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	57,732	-	-	-
Average Grade	9	-	-	-



## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Breached Bond Detention Fund**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.8 Special Service Pay	5	-	-	-
12.1 Benefits	1	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>6</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,052	1,075	1,075	-
22.0 Transportation of things	7	-	-	-
23.3 Communications, utilities, and misc. charges	329	375	375	-
25.1 Advisory and assistance services	2,470	2,520	2,520	-
25.2 Other services	765	780	780	-
25.4 O&M of facilities	63,099	65,000	65,000	-
25.6 Medical care	-	4,440	4,440	-
26.0 Supplies and materials	668	685	685	-
31.0 Equipment	63	115	115	-
32.0 Land & structures	-	10	10	-
<b>Total, Other Object Classes</b>	<b>68,453</b>	<b>75,000</b>	<b>75,000</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	11,391	12,391	12,391	-
Unobligated Balance, end of year	27,950	11,391	12,391	1,000
Recoveries of Prior Year Obligations	442	1,000	-	(1,000)
<b>Total Requirements</b>	<b>68,459</b>	<b>75,000</b>	<b>75,000</b>	<b>-</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Breached Bond Detention Fund Mission Statement

The Breached Bond Detention Fund was authorized in Section 112 of the Department of Justice Appropriations Act of 1993 (P.L. 102-395). The Act amended Section 286 of the Immigration and Nationality Act (INA) of 1952, as amended, by establishing, in the General Fund of the Treasury, a separate account to be called the Breached Bond Detention Fund. The first \$8 million in breached cash and surety bonds are allocated to the General Fund. All collections in excess of \$8 million are deposited as offsetting collections into this fund. Amounts deposited into the fund, which remain available until expended, can be used for expenses incurred in the collection of breached bonds, bond management, litigation activities to obtain compliance from surety companies found to be delinquent in meeting their obligations, and for expenses associated with the detention of criminal and illegal aliens.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.8 Special Service Pay	5	-	-	-
12.1 Benefits	1	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>6</b>	<b>-</b>	<b>-</b>	<b>-</b>

## **I. Changes In Full Time Employment**

N/A

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A.

**K. DHS Balanced Workforce Strategy**

N/A

# Department of Homeland Security

## *U.S. Immigration and Customs Enforcement Immigration Inspection User Fees*

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Fiscal Year 2013  
Congressional Justification

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<b>BUDGET REQUEST AND SUPPORTING INFORMATION</b>
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**U.S. Immigration and Customs Enforcement  
Immigration Inspection User Fees**

**I. Appropriation Overview**

**A. Mission Statement for Immigration Inspection User Fees:**

The Immigration and Customs Enforcement (ICE) Immigration Inspection User Fee account is a repository for fees collected from passengers arriving on commercial aircraft and vessels at U.S.-operated air and sea ports of entry as codified in 8 U.S.C. 1103, 1356, Section 286, the Immigration and Nationality Act. These fees finance a portion of the costs of ICE operations to deter, detect, detain, adjudicate, and remove passengers attempting to make an unauthorized landing or to unlawfully bring aliens into the United States through air and sea ports. Funds in the Immigration Inspection User Fee account remain available until expended.

**B. Budget Activities:**

The Immigration Inspection User Fee will fund 1,257 detention beds in Fiscal Year (FY) 2013.

**C. Budget Request Summary:**

ICE requests \$116,869,000 in spending authority for FY 2013. The requested funds will finance a portion of the costs of ICE operations to deter, detect, detain, adjudicate, and remove passengers attempting to make an unauthorized landing or to unlawfully bring aliens into the United States through air or sea ports.



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Immigration Inspection User Fees**  
 Summary of FY 2013 Budget Estimates by Program Project Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Immigration Inspection User Fees	22	26	95,750	-	-	116,869	-	-	116,869	-	-	-	-	-	-	-	-	-
<b>Total, Immigration Inspection User Fees</b>	<b>22</b>	<b>26</b>	<b>95,750</b>	<b>-</b>	<b>-</b>	<b>116,869</b>	<b>-</b>	<b>-</b>	<b>116,869</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>22</b>	<b>26</b>	<b>95,750</b>	<b>-</b>	<b>-</b>	<b>116,869</b>	<b>-</b>	<b>-</b>	<b>116,869</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>22</b>	<b>26</b>	<b>95,750</b>	<b>-</b>	<b>-</b>	<b>116,869</b>	<b>-</b>	<b>-</b>	<b>116,869</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Immigration Inspection User Fees  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Immigration Inspection User Fees**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>22</b>	<b>26</b>	<b>95,750</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>116,869</b>
<b>2013 Current Services</b>	-	-	<b>116,869</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>116,869</b>
Total Change 2012 to 2013	-	-	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Immigration User Fee account was established as a repository for fees collected from passengers arriving on commercial aircraft and vessels at U.S.-operated air and sea ports of entry. These fees finance a portion of the costs of Immigration and Customs Enforcement (ICE) operations to deter, detect, detain, adjudicate, and remove passengers attempting to make an unauthorized landing or to unlawfully bring aliens into the United States through air or sea ports. These ICE operations encompass:

- expanding, operating, and maintaining information systems for nonimmigrant control;
- detecting fraudulent documents used by passengers traveling to the United States;
- investigating crimes relating to admissibility and establishing the government’s legal position regarding all detentions;
- representing the government in all legal proceedings involving immigration and admissibility;
- transporting detained aliens who arrive at air and sea ports of entry to immigration legal proceedings;
- providing detention and removal services for inadmissible aliens arriving on commercial aircraft or vessels and for any inadmissible alien who has attempted illegal entry into the United States through avoidance of immigration inspection at air or sea ports-of-entry;
- providing training and technical assistance to commercial airline and vessel personnel regarding detection of fraudulent documents; and
- program oversight and management.

In FY 2013, ICE will use \$56 million of these resources to fund 1,257 detention bed and related expenses such as healthcare. The remainder of the funds will be split between other expenses such as investigations, legal proceedings, intelligence gathering, and alien transportation.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Immigration Inspection User Fees  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	22	26	95,750
FY 2012 Enacted Budget Authority	-	-	116,869
Adjustments-to-Base	-	-	-
Transfers	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	-	-	<b>116,869</b>
Program Changes	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>116,869</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	-

In FY 2012, ICE transferred 22 positions and 26 FTE to the Salaries and Expenses appropriation.

## C. Summary of Requirements

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Immigration Inspection User Fees**  
 Summary of Requirements  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	22	26	95,750
FY 2012 Enacted Budget Authority	-	-	116,869
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	116,869
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	-	-	116,869
FY 2012 to FY 2013 Total Change	-	-	-

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Immigration Inspection User Fees	-	-	116,869	-	-	-	-	-	-	-	-	116,869	-	-	-
<b>Total</b>	-	-	<b>116,869</b>	-	-	-	-	-	-	-	-	<b>116,869</b>	-	-	-

**D. Summary of Reimbursable Resources**

N/A



## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Immigration Inspection User Fees**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	3,113	-	-	-
11.8 Special Service Pay	16	-	-	-
12.1 Benefits	2,401	-	-	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>5,530</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,211	4,541	4,541	-
22.0 Transportation of things	693	540	540	-
23.3 Communications, utilities, and misc. charges	609	643	643	-
25.1 Advisory and assistance services	173	189	189	-
25.2 Other services	17,663	31,813	31,813	-
25.3 Purchases from Gov't accts.	93	101	101	-
25.4 O&M of facilities	52,115	56,359	56,359	-
25.6 Medical care	-	3,816	3,816	-
25.7 Operation and maintenance of equipment	4,279	7,172	7,172	-
25.8 Subsistence & Support of persons	4	4	4	-
26.0 Supplies and materials	10,365	11,491	11,491	-
31.0 Equipment	190	200	200	-
91.0 Unvouchered	(175)	-	-	-
<b>Total, Other Object Classes</b>	<b>90,220</b>	<b>116,869</b>	<b>116,869</b>	-
<b>Total, Direct Obligations</b>	<b>95,750</b>	<b>116,869</b>	<b>116,869</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	124,407	125,207	125,207	-
Unobligated balance, start of year	98,074	124,407	125,207	800
Recoveries of Prior Year Obligations	7,648	800	-	(800)
<b>Total Requirements</b>	<b>95,750</b>	<b>116,869</b>	<b>116,869</b>	-
<b>Full Time Equivalents</b>	26	-	-	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Immigration and Customs Enforcement  
Immigration Inspection User Fees  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
GS-7	22	-	-	-
<b>Total Permanent Positions</b>	<b>22</b>	<b>-</b>	<b>-</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	22	-	-	-
U.S. Field	22	-	-	-
<b>Total, Immigration Inspection User Fees</b>	<b>22</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>26</b>	<b>-</b>	<b>-</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	42,209	-	-	-
Average Grade	7	-	-	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Immigration and Customs Enforcement**  
**Immigration Inspection User Fees**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	3,113	-	-	-
11.8 Special Service Pay	16	-	-	-
12.1 Benefits	2,401	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>5,530</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,211	4,541	4,541	-
22.0 Transportation of things	693	540	540	-
23.3 Communications, utilities, and misc. charges	609	643	643	-
25.1 Advisory and assistance services	173	189	189	-
25.2 Other services	17,663	31,813	31,813	-
25.3 Purchases from Gov't accts.	93	101	101	-
25.4 O&M of facilities	52,115	56,359	56,359	-
25.6 Medical care	-	3,816	3,816	-
25.7 Operation and maintenance of equipment	4,279	7,172	7,172	-
25.8 Subsistence & Support of persons	4	4	4	-
26.0 Supplies and materials	10,365	11,491	11,491	-
31.0 Equipment	190	200	200	-
91.0 Unvouchered	(175)	-	-	-
<b>Total, Other Object Classes</b>	<b>90,220</b>	<b>116,869</b>	<b>116,869</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	124,407	125,207	125,207	-
Unobligated Balance, end of year	98,074	124,407	125,207	800
Recoveries of Prior Year Obligations	7,648	800	-	(800)
<b>Total Requirements</b>	<b>95,750</b>	<b>116,869</b>	<b>116,869</b>	-
<b>Full Time Equivalents</b>	<b>26</b>	-	-	-

### Immigration Inspection User Fees Mission Statement

The Immigration User Fee account was established as a repository for fees collected from passengers arriving on commercial aircraft and vessels at U.S.-operated air and sea ports of entry. These fees finance a portion of the costs of ICE operations to deter, detect, detain, adjudicate, and remove passengers attempting to make an unauthorized landing or to unlawfully bring aliens into the United States through air or sea ports.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	3,113	-	-	-
11.8 Special Service Pay	16	-	-	-

	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>FY 2012 to FY 2013 Change</b>
11.1 Total FTE & personnel compensation	3,113	-	-	-
12.1 Benefits	2,401	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>5,530</b>	-	-	-

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>26</b>	<b>26</b>	<b>-</b>
<b>Increases</b>			
<b>Decreases</b>			
FY 2012 Transfer to Salaries and Expenses from User Fee	-	(26)	-
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(26)</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>26</b>	<b>-</b>	<b>-</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>(26)</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

N/A



# Department of Homeland Security

*Transportation Security Administration*

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Fiscal Year 2013  
Congressional Justification

i. Summary of FY 2012 Budget Estimates by Appropriation

**Department of Homeland Security**  
**Transportation Security Administration**  
**Summary of FY 2013 Budget Estimates by Appropriation**  
**Total Appropriations**  
(Dollars in Thousands)

Budget Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Aviation Security	50,819	5,450,288	52,705	5,253,956	54,088	5,098,639	1,383	(155,317)	-	(149,102)	1,383	(6,215)
Surface Transportation Security	657	109,108	775	134,748	775	124,276	-	(10,472)	-	-	-	(10,472)
Transportation Threat Assessment & Credentialing	304	208,190	481	200,274	458	267,351	(23)	67,077	-	42,717	(23)	24,360
Transportation Security Support	1,482	1,023,345	1,755	1,031,926	1,861	969,709	106	(62,217)	-	-	106	(62,217)
Federal Air Marshals		926,040		966,115		929,610	-	(36,505)	-	(24,023)	-	(12,482)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>												
<b>(Gross Discretionary)</b>	<b>53,262</b>	<b>7,716,971</b>	<b>55,716</b>	<b>7,587,019</b>	<b>57,182</b>	<b>7,389,585</b>	<b>1,466</b>	<b>(197,434)</b>	<b>-</b>	<b>(130,408)</b>	<b>1,466</b>	<b>(67,026)</b>
Aviation Security Capital Fund (ASCF)		60,989		250,000		250,000	-	-	-	-	-	-
Alien Flight Student Program - Fee	4	2,750	6	4,000	6	5,000	-	1,000	-	-	-	1,000
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>												
<b>(Gross Budgetary Resources)</b>	<b>53,266</b>	<b>7,780,710</b>	<b>55,722</b>	<b>7,841,019</b>	<b>57,188</b>	<b>7,644,585</b>	<b>1,466</b>	<b>(196,434)</b>	<b>-</b>	<b>(130,408)</b>	<b>1,466</b>	<b>(66,026)</b>
<b>Less: Adjustments for Other Funding Sources:</b>												
<i>Aviation Security Fees - Offsetting Fees</i>	-	(1,997,901)	-	(2,054,486)	-	(2,209,176)	-	(154,690)	-	(117,000)	-	(37,690)
<i>Aviation Passenger Security Fee (less ASCF)</i>		(1,597,535)		(1,634,486)		(1,672,176)	-	(37,690)	-	-	-	(37,690)
<i>Aviation Passenger Security Fee - Increase (less Aviation Security Deficit Reduction)</i>		-		-		(117,000)	-	(117,000)	-	(117,000)	-	-
<i>Aviation Security Infrastructure Fee (ASIF)</i>		(400,366)		(420,000)		(420,000)	-	-	-	-	-	-
<b>Credentialing Fees - Discretionary - User Fees</b>	<b>-</b>	<b>(40,654)</b>	<b>-</b>	<b>(36,320)</b>	<b>-</b>	<b>(74,720)</b>	<b>-</b>	<b>(38,400)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(38,400)</b>
<i>Transportation Worker Identification Credential- Fee</i>		(26,508)		(8,300)		(47,300)	-	(39,000)	-	-	-	(39,000)
<i>Hazardous Material (HazMat) - Fee</i>		(11,160)		(12,000)		(12,000)	-	-	-	-	-	-
<i>General Aviation at DCA - Fee</i>		(267)		(100)		(100)	-	-	-	-	-	-
<i>Indirect Air Cargo - Fee (in FY13 included in Air Cargo-Fee)</i>				(1,400)			-	1,400	-	-	-	1,400
<i>Certified Cargo Screening Pgm - Fee (in FY13 included in Air Cargo-Fee)</i>				(5,200)			-	5,200	-	-	-	5,200
<i>Large Aircraft Security Pgm - Fee (in FY13 included in OSTA-Fee)</i>				(1,200)			-	1,200	-	-	-	1,200
<i>Commercial Aviation and Airport - Fee (previously called SIDA - Fee)</i>		(2,696)		(8,000)		(8,000)	-	-	-	-	-	-
<i>Other Security Threat Assessments - Fee (in FY13 includes LASP-Fee and SSI-Fee)</i>		(22)		(100)		(120)	-	(20)	-	-	-	(20)
<i>Sensitive Security Information - Fee (in FY13 included in OSTA-Fee)</i>		(1)		(20)		-	-	20	-	-	-	20
<i>Air Cargo - Fee (New in FY13, includes IAC-Fee and CCSP-Fee)</i>						(7,200)	-	(7,200)	-	-	-	(7,200)
<b>Less: Prior Year Rescission:</b>		(18,230)		(71,596)			-	71,596	-	-	-	71,596
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>53,262</b>	<b>5,660,186</b>	<b>55,716</b>	<b>5,424,617</b>	<b>57,182</b>	<b>5,105,689</b>	<b>1,466</b>	<b>(318,928)</b>	<b>-</b>	<b>(247,408)</b>	<b>1,466</b>	<b>(71,520)</b>
<b>Aviation Fees - Mandatory</b>	<b>-</b>	<b>(250,000)</b>	<b>-</b>	<b>(250,000)</b>	<b>-</b>	<b>(450,159)</b>	<b>-</b>	<b>(200,159)</b>	<b>-</b>	<b>(200,159)</b>	<b>-</b>	<b>-</b>
Aviation Security Capital Fund		(250,000)		(250,000)		(250,000)	-	-	-	-	-	-
Aviation Security, Deficit Reduction [Non-Add]		-		-		(200,159)	-	(200,159)	-	(200,159)	-	-
<b>Credentialing Fees - Mandatory</b>	<b>-</b>	<b>(5,031)</b>	<b>-</b>	<b>(4,000)</b>	<b>-</b>	<b>(5,000)</b>	<b>-</b>	<b>(1,000)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(1,000)</b>
Alien Flight Student Program - Fee	-	(5,031)	-	(4,000)	-	(5,000)	-	(1,000)	-	-	-	(1,000)

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security  
Transportation Security Administration**  
Homeland and Non-Homeland Allocation by Program/Project Activity  
(Dollars in Thousands)

Budget Activity	2011 Actual Obligations						2012 Enacted Budget Authority						2013 Requested Budget Authority <sup>1</sup>					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>I. AVIATION SECURITY</b>	<b>50,819</b>	<b>5,450,288</b>	---	---	<b>50,819</b>	<b>5,450,288</b>	<b>52,705</b>	<b>5,253,956</b>	---	---	<b>52,705</b>	<b>5,253,956</b>	<b>54,088</b>	<b>5,098,639</b>	---	---	<b>54,088</b>	5,098,639
1. Screening Partnership Program	---	153,289	---	---	---	153,289	---	144,193	---	---	---	144,193	---	143,190	---	---	---	143,190
2. Screener PC&B	46,413	2,958,916	---	---	46,413	2,958,916	47,245	3,025,771	---	---	47,245	3,025,771	48,356	3,107,649	---	---	48,356	3,107,649
3. Screener Training and Other	67	228,742	---	---	67	228,742	47	249,796	---	---	47	249,796	64	225,012	---	---	64	225,012
4. Checkpoint Support	54	240,332	---	---	54	240,332	52	204,768	---	---	52	204,768	59	120,239	---	---	59	120,239
5. EDS Procurement/Installation	119	595,651	---	---	119	595,651	114	222,738	---	---	114	222,738	116	117,349	---	---	116	117,349
6. Screening Technology Maintenance [& Utilities]	---	322,555	---	---	---	322,555	---	320,365	---	---	---	320,365	---	309,000	---	---	---	309,000
7. Operation Integration	---	29,271	---	---	---	29,271	---	---	---	---	---	---	---	---	---	---	---	---
8. Aviation Regulation & Other Enforcement	1,118	276,228	---	---	1,118	276,228	1,482	369,984	---	---	1,482	369,984	1,662	371,989	---	---	1,662	371,989
9. Airport Management and Support	2,313	488,672	---	---	2,313	488,672	2,974	570,226	---	---	2,974	570,226	3,022	569,615	---	---	3,022	569,615
10. Federal Flight Deck Officer & Flight Crew Training	29	23,518	---	---	29	23,518	42	25,461	---	---	42	25,461	42	12,500	---	---	42	12,500
11. Air Cargo	706	132,607	---	---	706	132,607	749	120,654	---	---	749	120,654	767	122,096	---	---	767	122,096
12. Airport Perimeter Security	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
13. TSA Appropriation (FY10 Actuals only)	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
<i>Aviation Fees - Discretionary Fees - User Fees</i>	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
14. General Aviation at Ronald Reagan National Airport - Fee	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
15. Indirect Air Cargo - Fee	---	507	---	---	---	507	---	---	---	---	---	---	---	---	---	---	---	---
<b>II. SURFACE TRANSPORTATION SECURITY</b>	<b>657</b>	<b>109,108</b>	---	---	<b>657</b>	<b>109,108</b>	<b>775</b>	<b>134,748</b>	---	---	<b>775</b>	<b>\$134,748</b>	<b>775</b>	<b>124,276</b>	---	---	<b>775</b>	<b>\$124,276</b>
1. Staffing and Operations	150	40,023	---	---	150	40,023	153	38,514	---	---	153	38,514	153	36,711	---	---	153	36,711
2. Surface Transportation Security Inspectors & Canines	507	69,085	---	---	507	69,085	622	96,234	---	---	622	96,234	622	87,565	---	---	622	87,565
<b>III. TRANSPORTATION THREAT ASSESSMENT &amp;</b>	<b>304</b>	<b>208,190</b>	---	---	<b>304</b>	<b>208,190</b>	<b>481</b>	<b>200,274</b>	---	---	<b>481</b>	<b>200,274</b>	<b>458</b>	<b>267,351</b>	---	---	<b>458</b>	<b>267,351</b>
1. Secure Flight	145	99,545	---	---	145	99,545	314	92,414	---	---	314	92,414	291	107,074	---	---	291	107,074
2. Other Vetting Programs	117	66,714	---	---	117	66,714	121	71,540	---	---	121	71,540	121	85,557	---	---	121	85,557
<i>Credentialing Fees - Discretionary - User Fees</i>	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
3. Registered Traveler	---	121	---	---	---	121	---	---	---	---	---	---	---	---	---	---	---	---
4. TWIC - Fee	23	30,748	---	---	23	30,748	21	8,300	---	---	21	8,300	21	47,300	---	---	21	47,300
5. Hazardous Material (HazMat) - Fee	19	9,313	---	---	19	9,313	17	12,000	---	---	17	12,000	17	12,000	---	---	17	12,000
6. General Aviation at DCA - Fee	---	2	---	---	---	2	---	100	---	---	---	100	---	100	---	---	---	100
7. Indirect Air Cargo - Fee (in FY13 included in Air Cargo-Fee)	---	17	---	---	---	17	2	1,400	---	---	2	1,400	---	---	---	---	---	---
8. Certified Cargo Screening Pgm - Fee (in FY13 included in Air Cargo-Fee)	---	---	---	---	---	---	6	5,200	---	---	6	5,200	---	---	---	---	---	---
9. Large Aircraft Security Pgm - Fee (in FY13 included in OSTA-Fee)	---	---	---	---	---	---	---	1,200	---	---	---	1,200	---	---	---	---	---	---
10. Commercial Aviation and Airport - Fee (previously called SIDA - Fee)	---	1,722	---	---	---	1,722	---	8,000	---	---	---	8,000	---	8,000	---	---	---	8,000
11. Other Security Threat Assessments - Fee (in FY13 includes LASP-Fee and SSI-Fee)	---	8	---	---	---	8	---	100	---	---	---	100	---	120	---	---	---	120
12. Sensitive Security Information - Fee (in FY13 included in OSTA-Fee)	---	---	---	---	---	---	---	20	---	---	---	20	---	---	---	---	---	---
13. Air Cargo - Fee (New in FY13, includes IAC-Fee and CCSP-Fee)	---	---	---	---	---	---	---	---	---	---	---	---	8	7,200	---	---	8	7,200
<b>IV. TRANSPORTATION SECURITY SUPPORT</b>	<b>1,482</b>	<b>1,023,345</b>	---	---	<b>1,482</b>	<b>1,023,345</b>	<b>1,755</b>	<b>1,031,926</b>	---	---	<b>1,755</b>	<b>1,031,926</b>	<b>1,861</b>	<b>969,709</b>	---	---	<b>1,861</b>	<b>969,709</b>
1. Intelligence	160	34,918	---	---	160	34,918	223	42,992	---	---	223	42,992	243	45,130	---	---	243	45,130
2. Headquarters Administration	936	252,149	---	---	936	252,149	1,172	292,334	---	---	1,172	292,334	1,194	281,554	---	---	1,194	281,554
3. Human Capital Services	206	236,645	---	---	206	236,645	144	249,400	---	---	144	249,400	150	225,829	---	---	150	225,829
4. Information Technology	180	499,633	---	---	180	499,633	216	447,200	---	---	216	447,200	274	417,196	---	---	274	417,196
<b>V. FEDERAL AIR MARSHALS</b>	---	<b>926,040</b>	---	---	---	<b>926,040</b>	---	<b>966,115</b>	---	---	---	<b>966,115</b>	---	<b>929,610</b>	---	---	---	<b>929,610</b>
1. Management and Administration	---	801,034	---	---	---	801,034	---	842,500	---	---	---	842,500	---	815,639	---	---	---	815,639
2. Travel and Training	---	125,006	---	---	---	125,006	---	123,615	---	---	---	123,615	---	113,971	---	---	---	113,971

Budget Activity	2011 Actual Obligations						2012 Enacted Budget Authority						2013 Requested Budget Authority <sup>1</sup>					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Total Direct Approp &amp; Budget Est (Gross Discretionary)</b>	53,262	7,716,971	---	---	53,262	7,716,971	55,716	7,587,019	---	---	55,716	7,587,019	57,182	7,389,585	---	---	57,182	7,389,585
<b>MANDATORY FEES</b>																		
1. Aviation Security Capital Fund (ASCF)	---	60,989	---	---	---	60,989	---	250,000	---	---	---	250,000	---	250,000	---	---	---	250,000
2. Airport Checkpoint Security Fund (ACSF)	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
3. Alien Flight Student Program - Fee	4	2,750	---	---	4	2,750	6	4,000	---	---	6	4,000	6	5,000	---	---	6	5,000
<b>Total Budget Authority</b>	53,266	7,780,710	---	---	53,266	7,780,710	55,722	7,841,019	---	---	55,722	7,841,019	57,188	7,644,585	---	---	57,188	7,644,585
<b>FEE ACCOUNT OFFSET</b>																		
<b>Discretionary Fees:</b>	---	(2,038,555)	---	---	---	(2,038,555)	---	(2,090,806)	---	---	---	(2,090,806)	---	(2,283,896)	---	---	---	(2,283,896)
<i>Aviation Security Fees - Offsetting Fees</i>																		
1. Aviation Passenger Security Fees (less ASCF)	---	(1,597,535)	---	---	---	(1,597,535)	---	(1,634,486)	---	---	---	(1,634,486)	---	(1,672,176)	---	---	---	(1,672,176)
2. Aviation Passenger Security Fee - Increase (less Aviation Security Deficit Reduction)	---	---	---	---	---	---	---	---	---	---	---	---	---	(117,000)	---	---	---	(117,000)
3. Aviation Security Infrastructure Fee (ASIF)	---	(400,366)	---	---	---	(400,366)	---	(420,000)	---	---	---	(420,000)	---	(420,000)	---	---	---	(420,000)
<i>Aviation Fees - Discretionary - User Fees</i>																		
4. General Aviation at Ronald Reagan National Airport - Fee	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
5. Indirect Air Cargo - Fee	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
<i>Credentialing Fees - Discretionary - User Fees</i>																		
1. Registered Traveler - Fee	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
2. Transportation Worker Identification Credential - Fee	---	(26,508)	---	---	---	(26,508)	---	(8,300)	---	---	---	(8,300)	---	(47,300)	---	---	---	(47,300)
3. Hazardous Material (HazMat) - Fee	---	(11,160)	---	---	---	(11,160)	---	(12,000)	---	---	---	(12,000)	---	(12,000)	---	---	---	(12,000)
4. General Aviation at DCA - Fee	---	(267)	---	---	---	(267)	---	(100)	---	---	---	(100)	---	(100)	---	---	---	(100)
5. Indirect Air Cargo - Fee (in FY13 included in Air Cargo-	---	-	---	---	---	-	---	(1,400)	---	---	---	(1,400)	---	-	---	---	---	-
6. Certified Cargo Screening Pgm - Fee (in FY13 included in	---	-	---	---	---	-	---	(5,200)	---	---	---	(5,200)	---	-	---	---	---	-
7. Large Aircraft Security Pgm - Fee (in FY13 included in	---	-	---	---	---	-	---	(1,200)	---	---	---	(1,200)	---	-	---	---	---	-
8. Commercial Aviation and Airport - Fee (previously called	---	(2,696)	---	---	---	(2,696)	---	(8,000)	---	---	---	(8,000)	---	(8,000)	---	---	---	(8,000)
9. Other Security Threat Assess - Fee (in FY13 includes	---	(22)	---	---	---	(22)	---	(100)	---	---	---	(100)	---	(120)	---	---	---	(120)
10. Sensitive Security Information - Fee (in FY13 included in	---	(1)	---	---	---	(1)	---	(20)	---	---	---	(20)	---	-	---	---	---	-
11. Air Cargo - Fee (New in FY13, includes IAC-Fee and	---	---	---	---	---	---	---	---	---	---	---	---	---	(7,200)	---	---	---	(7,200)
<b>Mandatory Fees:</b>	---	(255,031)	---	---	---	(255,031)	---	(254,000)	---	---	---	(254,000)	---	(255,000)	---	---	---	(255,000)
1. Aviation Security Capital Fund (ASCF)	---	(250,000)	---	---	---	(250,000)	---	(250,000)	---	---	---	(250,000)	---	(250,000)	---	---	---	(250,000)
3. Alien Flight Student Program - Fee	---	(5,031)	---	---	---	(5,031)	---	(4,000)	---	---	---	(4,000)	---	(5,000)	---	---	---	(5,000)
<b>RESCISSION OF PRIOR YEAR FUNDS</b>	---	(18,230)	---	---	---	(18,230)	---	(71,596)	---	---	---	(71,596)	---	---	---	---	---	---
<b>Net, Direct Appropriations and Budget Estimates <sup>2</sup></b>	53,266	5,468,894	---	---	53,266	5,468,894	55,722	5,424,617	---	---	55,722	5,424,617	57,188	5,105,689	---	---	57,188	5,105,689

<sup>1</sup> Not included is the Aviation Security, Deficit Reduction of \$(200.159M)

<sup>2</sup> Totals represents net Budget Authority (vice Net Discretionary)

### iii. Status of Congressionally Requested Studies, Reports, and Evaluation

#### Department of Homeland Security Transportation Security Administration

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
FY 2010	Update	DHS FY 2010 Approps	Transportation Sector Security Risk Assessment (Annual Report)	Estimated Spring 2012
FY 2011	8/15/2011	DHS FY 2011 Approps	Advance Integrated Passenger Screening Technologies	To be drafted
FY 2011	8/15/2011	DHS FY 2011 Approps	Air Cargo Statistics 3 <sup>rd</sup> Quarter Report	To be drafted
FY 2011	11/15/2011	DHS FY 2011 Approps	Air Cargo Statistics 4 <sup>th</sup> Quarter Report	To be drafted
FY 2011	11/15/2011	DHS FY 2011 Approps	4 <sup>th</sup> Qtr FY12 - Federal Air Marshals	To be drafted
FY 2011	11/15/2011	DHS FY 2011 Approps	Recoveries and Deobligation 4 <sup>th</sup> Quarter Report	N/A due to no recoveries to report
FY 2012	2/15/2015	DHS FY 2012 Approps	Security Identification Display Area (SIDA) Access Appeals Process	To be drafted
FY 2012	2/13/2012	DHS FY 2012 Approps	Installation of Optimal Baggage Screening Systems and FTE Savings	To be drafted
FY 2012	2/13/2012	DHS FY 2012 Approps	Five-Year Strategic Plan of Investments	To be drafted
FY 2012	2/13/2012	DHS FY 2012 Approps	Risk-Based Decision Making and Budgeting	To be drafted
FY 2012	2/15/2012	DHS FY 2012 Approps	1st Qtr FY12 - Federal Air Marshals	To be drafted
FY 2012	2/21/2012	DHS FY 2012 Approps	FY12 Expenditure Plan VIPR	To be drafted
FY 2012	2/21/2012	DHS FY 2012 Approps	Call Centers (TCC)	To be drafted
FY 2012	2/21/2012	DHS FY 2012 Approps	FY12 Expenditure Plan - Air Cargo	To be drafted
FY 2012	2/21/2012	DHS FY 2012 Approps	FY12 Expenditure Plan - EDS/PSP	To be drafted
FY 2012	3/22/2012	DHS FY 2012 Approps	Screening Partnership Program (SPP)	To be drafted
FY 2012	3/22/2012	DHS FY 2012 Approps	Trusted Traveler Program	To be drafted
FY 2012	3/22/2012	DHS FY 2012 Approps	Streamlining Processing for Inbound International Travelers	To be drafted
FY 2012	Contingent	DHS FY 2012 Approps	Registered Traveler Program, Protection of Personal	To be drafted
FY 2012	3/22/2012	DHS FY 2012 Approps	Integrated Technologies and Workforce	To be drafted
FY 2012	5/15/2012	DHS FY 2012 Approps	2nd Qtr FY12 - Federal Air Marshals	To be drafted
FY 2012	6/20/2012	DHS FY 2012 Approps	1st FY12 Biannual Report - Air Cargo	To be drafted
FY 2012	6/20/2012	DHS FY 2012 Approps	Exit Lane Security	To be drafted
FY 2012	6/20/2012	DHS FY 2012 Approps	Surface Transportation Security for Mass Transit Rail Tunnel Security	To be drafted
FY 2012	8/15/2012	DHS FY 2012 Approps	3rd Qtr FY12 - Federal Air Marshals	To be drafted
FY 2012	11/15/2012	DHS FY 2012 Approps	4th Qtr FY12 - Federal Air Marshals	To be drafted
FY 2012	12/20/2012	DHS FY 2012 Approps	2nd FY12 Biannual Report - Air Cargo	To be drafted
FY 2012	Contingent	DHS FY 2012 Approps	1st Qtr FY12 - Recovered or Deobligated Funds for Explosive Detection Systems	To be drafted
FY 2012	Contingent	DHS FY 2012 Approps	2nd Qtr FY12 - Recovered or Deobligated Funds for Explosive Detection Systems	To be drafted
FY 2012	Contingent	DHS FY 2012 Approps	3rd Qtr FY12 - Recovered or Deobligated Funds for Explosive Detection Systems	To be drafted
FY 2012	Contingent	DHS FY 2012 Approps	4th Qtr FY12 - Recovered or Deobligated Funds for Explosive Detection Systems	To be drafted

#### iv: Schedule of Authorized/Unauthorized Appropriations by PPA

### Department of Homeland Security Transportation Security Administration

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Request
	Fiscal Year	Amount	Amount	Amount
<b>Aviation Security</b>	<b>2011</b>	<b>Such sums</b>	<b>N/A</b>	<b>5,098,639</b>
- Screening Partnership Program	2011	Such sums	N/A	143,190
- Screener Personnel Compensation and Benefits	2011	Such sums	N/A	3,107,649
- Screener Training and Other	2011	Such sums	N/A	225,012
- Checkpoint Support	2011	Such sums	N/A	120,239
- EDS/ETD Procurement and Installation	2011	Such sums	N/A	117,349
- Screening Technology Maintenance	2011	Such sums	N/A	309,000
- Operation Integration	2011	Such sums	N/A	---
- Aviation Regulation and Other Enforcement	2011	Such sums	N/A	371,989
- Airport Management and Support	2011	Such sums	N/A	569,615
- Federal Flight Deck Officer and Flight Crew Training	2011	Such sums	N/A	12,500
- Air Cargo	2011	Such sums	N/A	122,096
<b>Surface Transportation Security</b>	<b>2011</b>	<b>N/A</b>	<b>N/A</b>	<b>124,276</b>
- Surface Transportation Security Operations and Staffing	2011	N/A	N/A	36,711
- Surface Transportation Security Inspectors and Canine	2011	N/A	N/A	87,565
<b>Credentialing</b>	<b>2005</b>	<b>Such sums</b>	<b>54,919</b>	<b>272,351</b>
- Secure Flight <sup>1</sup>	2005	Such sums	34,919	107,074
- Other Vetting Programs	N/A	N/A	N/A	85,557
- Crew Vetting <sup>1</sup>	2005	Such sums	10,000	---
- TWIC - Fee	N/A	N/A	N/A	47,300
- HAZMAT - Fee	N/A	N/A	N/A	12,000
- General Aviation at DCA - Fee	N/A	N/A	N/A	100
- Indirect Air Cargo - Fee <sup>2</sup>	N/A	N/A	N/A	---
- Certified Cargo Screening Program - Fee <sup>2</sup>	N/A	N/A	N/A	---
- Large Aircraft Security Program - Fee <sup>3</sup>	N/A	N/A	N/A	---
- Commercial Aviation and Airport - Fee [Secure Identification Display Area Checks - Fee]	N/A	N/A	N/A	8,000
- Other Security Threat Assessments - Fee <sup>3</sup>	N/A	N/A	N/A	120
- Sensitive Security Information - Fee <sup>3</sup>	N/A	N/A	N/A	---
- Air Cargo - Fee <sup>2</sup>	N/A	N/A	N/A	7,200
- Alien Flight Student Program - Fee <sup>1</sup>	2005	Such sums	10,000	5,000

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Request
	Fiscal Year	Amount	Amount	Amount
<b>Transportation Security Support</b>	N/A	N/A	N/A	<b>969,709</b>
- Intelligence	N/A	N/A	N/A	45,130
- Headquarters Administration	N/A	N/A	N/A	281,554
- Human Capital Services	N/A	N/A	N/A	225,829
- Information Technology	N/A	N/A	N/A	417,196
<b>Federal Air Marshal Service</b>	<b>2011</b>	<b>Such sums</b>	<b>N/A</b>	<b>929,610</b>
- Management and Administration	2011	Such sums	N/A	815,639
- Travel and Training	2011	Such sums	N/A	113,971
<b>Aviation Security Capital Fund <sup>4</sup></b>	2028	Such sums	N/A	250,000
<b>Total Direct Authorization/Appropriation</b>				<b>7,644,585</b>

<sup>1</sup> Through FY 2005, these programs were under the Aviation Security Appropriation and were therefore authorized. The Transportation Threat Assessment and Credentialing Appropriation has not been authorized.

<sup>2</sup> Indirect Air Cargo Fee and Certified Cargo Screening Program Fee included under the Air Cargo Fee in FY 2013.

<sup>3</sup> Large Aircraft Security Program Fee and Sensitive Security Information Fee included in Other Security Threat Assessment Fee in FY 2013.

<sup>4</sup> P.L. 110-53 reauthorized the Aviation Security Capital Fund from FY 2008 through FY 2028.

**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

ACAS	Advanced Cargo Automated System
ACSP	Aviation Channeling Service Provider
ACTS	Aircraft Training Simulators
AFGE	American Federation of Government Employees
AFRICOM	US Africa Command
AFSD	Assistant Federal Security Director
AFSD-LE	Assistant Federal Security Director-Law Enforcement
AFSP	Alien Flight Student Program
AIT	Advanced Imaging Technology
AMS	Asset Management System
AOA	Analysis of Alternatives
AOSSP	Aircraft Operator Standard Security Program
APATA	Arming Pilots Against Terrorism Act of 2003
ARRA	American Recovery and Reinvestment Act
ASAP	Aviation Screening Assessment Program
ASCF	Aviation Security Capital Fund
ASP	Advanced Surveillance Program
ASSIST	Aviation Security Sustainable International Standards Teams
ASW	Airspace Waivers
AT	Advanced Technology
AT-2	Advanced Technology-2
ATR	Automated Targeting Recognition System
ATS	Automated Targeting System
ATSA	Aviation and Transportation Security Act
AW	Aviation Workers
AWT	Automated Wait Times
BAO	Bomb Appraisal Officer
BASE	Baseline Assessment for Security Enhancement
BDO	Behavior Detection Officer
BLS	Bottled Liquids Scanners
BPSS	Boarding Pass Scanning Systems
BTS	Bureau of Transportation Statistics (Department of Transportation)
CAD	Chemical Analysis Devices
CAO	Chief Administrative Officer
CAPPS II	Computer Assisted Passenger Pre-Screening System
CAT	Category - TSA Security "Category" for Airports (i.e., CAT X, I, II, III, and IV)
CAT/BPSS	Credential Authentication Technology/Boarding Pass Scanning System
CBP	U.S. Customs and Border Protection
CCSF	Certified Cargo Screening Facility
CCSP	Certified Cargo Screening Program
CCTV	Closed Circuit Television
CDL	Commercial Drivers License



**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

CDP	Candidate Development Program
CFATS	Chemical Facilities Anti-Terrorism Standards
CFI	Critical Facility Inspection
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CFSR	Critical Facility Security Review
CHRC	Criminal History Records Check
CIMG	Critical Incident Management Group
CMSD	Crew Member Self Defense
COLA	Cost of Living Adjustment
CR&L	Civil Rights and Liberties
CSAC	Chemical Security Analysis Center
CSR	Corporate Security Review
CTEB	Canine Training and Evaluation Branch
CVP	Crew Vetting Program
CWP	Compliance Work Plan
DC	Data Center
DFO	Dual Function Officer
DHS	Department of Homeland Security
DLA	Defense Logistics Agency
DOL	Department of Labor
DOS	Department of State
DOT	Department of Transportation
EAGLE	Enterprise Acquisition Gateway for Leading Edge Solutions
EBSP	Electronic Baggage Screening Program
ECAC	European Civil Aviation Conference
EDS	Explosives Detection System
EEO	Equal Employment Opportunity
EMC	Environmental Management Coordinator
EMD	Electronic Metal Detection
EMS	Environmental Management System
EPA	Environmental Protection Agency
ETD	Explosives Trace Detection
EXIS	Exercise Planning and Information Management System
FAA	Federal Aviation Administration
FAM	Federal Air Marshal
FAMIS	Federal Air Marshal Information System
FAMS	Federal Air Marshal Service
FAMSTC	FAMS Training Center
FAMSTD	FAMS Training Division
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FFDO	Federal Flight Deck Officer

**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

FIO	Field Intelligence Officer
FISMA	Federal Information Security Management Act
FLETA	Federal Law Enforcement Training Accreditation
FLETC	Federal Law Enforcement Training Center
FLRA	Federal Labor Relations Authority
FOC	Full Operational Capability
FOIA	Freedom of Information Act
FRA	Federal Railroad Administration
FRCA	Freight Rail Corridor Assessment
FRSGP	Freight Rail Security Grant Program
FSD	Federal Security Director
FTA	Federal Transit Administration
FTE	Full Time Equivalent
FTP	Full Time Position
FY	Fiscal Year
FYHSP	Future Year Homeland Security Program
GA	General Aviation
GAO	Government Accountability Office
GPP	Global Policy and Programs
GSA	General Services Administration
HAZMAT	Hazardous Materials
HMC	Highway Motor Carrier
HME	Hazardous Materials Endorsement
HQ	Headquarters
HSEDS	High Speed Explosives Detection System
HSPD	Homeland Security Presidential Directive
HSPR	High Speed Passenger Rail
HSSAI	Homeland Security Study Analysis Institute
HSSM	Highway Security-Sensitive Materials
HTAP	Hazardous Materials Endorsement Threat Assessment Program
HTSP	Hazmat Truck Security Pilot
HTUA	High Threat Urban Area
IAC	Indirect Air Carrier
IAC - Fee	Indirect Air Cargo - Fee
IC	Intelligence Community
ICAO	International Civil Aviation Organization
ID	Identification
IDENT	Automated Biometric Fingerprint Identification System
IDM	Integrated Deployment Model
IDSR	In-Depth Security Review
IED	Improvised Explosive Device
IFR	Interim Final Rule
IIR	International Industry Representative

**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

IM&C	Internal Management and Controls
IMT	Incident Management Training
IOC	Initial Operational Capability
IRTPA	Intelligence Reform and Terrorism Prevention Act
I-STEP	Intermodal Security Training Exercise Program
IT	Information Technology
I-VIEW	Intermodal Visual Enhancement Workshop
JTTF	Joint Terrorism Task Force
JVA	Joint Vulnerability Assessment
LASP	Large Aircraft Security Program
LEO	Law Enforcement Officer
LOI	Letter of Intent
LPD	Last Point of Departure
LTSO	Lead Transportation Security Officer
MANPADS	Man-Portable Air Defense System
MAV	MANPAD Assist Visits
MD-3	Maryland-Three Program
MDVA	Multiple Disciplinary Vulnerability Assessment
MRK	Mission Risk Knowledge
MSEDS	Medium-Speed Explosives Detection System
MSNS	Mission Scheduling and Notification System
MTOW	Maximum Take-off Weight
MTPR	Mass Transit and Passenger Rail Security Division
MTSA	Maritime Transportation Security Act of 2002
MTSCT	Mass Transit System Criticality Tool
MTSRA	Mass Transit System Risk Assessment
MVA	Man-Portable Vulnerability Assessment
NASC	National Airspace Coordination Center
NAVAIR	Naval Air Systems Command
NCSP	National Cargo Security Program
NCTC	National Counterterrorism Center
NDO	National Deployment Office
NEDCTP	National Explosives Detection Canine Training Program
NFC	National Finance Center
NHTP	New Hire Training Program
NIMS	National Incident Management System
NPRM	Notice of Proposed Rulemaking
NPSP	National Postal Security Program
NRP	National Response Plan
NSCP	National Security Cargo Program
NSS	National Security Staff
NSTS	National Strategy for Transportation Security
NTP	National Training Plan

**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

OAB	Office of Professional Responsibility Appellate Board
OAS	Organization of American States
OCC	Office of Chief Counsel
OCRL	Office of Civil Rights and Liberties
ODPO	Office of Disability Policy and Outreach
OFPP	Office of Federal Procurement Policy
OGS	Office of Global Strategies
OHCS	Office of Human Capital Services
OI	Operation Integration
OIA	Office of Intelligence and Analysis
OLA	Office of Legislative Affairs
OLC	Online Learning Center
OLE	Office of Law Enforcement
OMB	Office of Management and Budget
OMRR	Objectively Measured Risk Reduction
OPM	Office of Personnel Management
OPR	Office of Professional Responsibility
OSARP	On-Screen Alarm Resolution Protocol
OSC	Office of Special Counselor
OSCPA	Office of Strategic Communications and Public Affairs
OSHE	Occupational Safety Health and Environment
OSO	Office of Security Operations
OSTA	Other Security Threat Assessments
OT&E	Operational Test and Evaluation
OTRB	Over-the-road Bus
P.L.	Public Law
PAG	Peer Advisory Group
PART	Program Assessment Review Tool
PASS	Performance Accountability and Standards System
PBM	Pharmacy Benefit Management
PC&B	Personnel Compensation and Benefits
PCSSP	Private Charter Standard Security Program
PDA	Personal Digital Assistant
PIAP	Performance Improvement Action Plan
PIMS	Performance Information Management System
PIV	Personal Identity Verification (cards)
POWER	Protecting Our Workers and Ensuring Reemployment
PPA	Program Project Activity
PPD	Presidential Policy Directive
PRI	Periodic Roll Initiative
PSC	Passenger Screening Canine
PSP	Passenger Screening Program
PSS	Principal Security Specialist

**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

QPL	Qualified Products List
R&D	Research and Development
RBS	Risk-Based Security
ROC	Regional Operations Center
RSAV	Railroad Self Assessment of Vulnerability
RSEDS	Reduced Size Explosives Detection Systems
RSI-S	Regional Security Inspector - Surface
RSSM	Rail Security-Sensitive Materials
RT	Registered Traveler
RTP	Resilient Tunnel Project
S&T	Science and Technology Directorate
SAI	Security Action Item
SAM	Staffing Allocation Model
SAMPRAS	Surface to Air Missile Positioning Ranking and Analysis System
SCA	Station Criticality Assessments
SEI	Special Emphasis Inspections
SFPD	Secure Flight Passenger Data
SIDA	Security Identification Display Area
SIPO	Surface Inspection and Program Oversight
SIS	Safety Information System
SLDP	Senior Leadership Development Program
SLGC	State and Local Government Coordination
SLT	Senior Leadership Team
SME	Subject Matter Expert
SNPRM	Supplemental Notice of Proposed Rulemaking
SOJO	Statement of Joint Objectives
SOP	Standard Operating Procedure
SPOT	Screening of Passengers by Observation Techniques
SPP	Screening Partnership Program
SSD	Shoe Scanning Device
SSI	Sensitive Security Information
SSP	Sector Specific Plan
STA	Security Threat Assessment
STI	Senior Training Instructor
STIP	Security Technology Integrated Program
STSIP	Surface Transportation Security Inspection Program
STSO	Supervisory Transportation Security Officer
T&E	Test and Evaluation
TBD	To Be Determined
TCC	TSA Contact Center
TDC	Travel Document Checker
TDY	Temporary Duty Travel
TIH	Toxic Inhalation Hazard

**Department of Homeland Security  
Transportation Security Administration  
Acronym List**

TIM	Transportation Threat Assessment and Credentialing Infrastructure Modernization
TIP	Threat Image Projection
TISS	Transportation Information Sharing System
TRACE	TSA Remote Access to Classified Enclaves
TRIP	Transportation Redress Inquiry Program
TSA	Transportation Security Administration
TSAR	Transportation Security Administration Representative
TSC	Terrorist Screening Center
TSDB	Terrorist Screening Database
TSE	Transportation Security Equipment
TSGP	Transportation Security Grant Program
TSI	Transportation Security Inspector
TSI-A	Transportation Security Inspector - Aviation
TSI-C	Transportation Security Inspector - Cargo
TSI-S	Transportation Security Inspector - Surface
TSL	Transportation Security Laboratory
TSM	Transportation Security Managers
TSNM	Transportation Security Network Management
TSO	Transportation Security Officer
TSOC	Transportation Security Operations Center
TSS	Transportation Security Specialist
TSS-E	Transportation Security Specialist – Explosives
TSSRA	Transportation Sector Security Risk Assessment
TSWG	Transportation Security Working Group
TTAC	Transportation Threat Assessment and Credentialing
TWIC	Transportation Worker Identification Credential
UAE	United Arab Emirates
UASI	Urban Area Security Initiative
USACE	United States Army Corps of Engineers
USCG	United States Coast Guard
VBIED	Vehicle Born Improvised Explosive Device
VIMS	Visible Intermodal Prevention and Response Information Management System
VIPR	Visible Intermodal Prevention and Response
WC	Workers' Compensation
WCF	Working Capital Fund
WTMD	Walk-Through Metal Detectors

**Department of Homeland Security  
Transportation Security Administration  
Airport List**

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
ABE	Lehigh Valley International Airport	II
ABI	Abilene Regional Airport	III
ABQ	Albuquerque Int'l Sunport	I
ABR	Aberdeen Regional Airport	IV
ABY	Southwest Georgia Regional Airport	IV
ACK	Nantucket Memorial Airport	III
ACT	Waco Regional Airport	III
ACV	Arcata Eureka Airport	III
ACY	Atlantic City International Airport	II
ADK	Adak Airport	IV
ADQ	Kodiak State Airport	III
AEX	Alexandria International Airport	IV
AGS	Bush Field Airport	III
AHN	Athens / Ben Epps	IV
AIA	Alliance Municipal Airport	IV
AKN	King Salmon Airport	III
ALB	Albany International Airport	I
ALO	Waterloo Municipal Airport	IV
ALS	Alamosa-San Luis Valley Airport/ Bergman Field	IV
ALW	Walla Walla Regional Airport	III
AMA	Amarillo International Airport	II
ANC	Ted Stevens Anchorage Int'l	I
AOO	Altoona/Blair County Airport	IV
APN	Alpena County Regional Airport	IV
ART	Watertown International Airport	IV
ASE	Aspen Pitkin County Sardy Field	III
ATL	Hartsfield-Jackson Atlanta Intl. Airport	X
ATW	Outagamie County Airport	II
ATY	Watertown Regional Airport	IV
AUG	Augusta State Airport	IV
AUS	Austin Bergstrom International	I
AVL	Ashville Regional Airport	II
AVP	W/B Scranton Airport	III
AZO	Kalamazoo/ Battle Creek International Airport	III
BBG	Branson Airport	III
BDL	Bradley International	I
BED	Hanscom Field Airport	III
BET	Bethel Airport	III
BFD	Bradford Regional Airport	IV
BFF	Western Nebraska Regional Airport, William B. Heilig Field	IV

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
BFL	Meadows Field, Bakersfield Airport	III
BGM	Binghamton Regional Airport	III
BGR	Bangor International Airport	II
BHB	Hancock County Bar Harbor Airport	IV
BHM	Birmingham International Airport	I
BIL	Billings Logan International Airport	II
BIS	Bismarck Municipal Airport	III
BJI	Bemidji City County Airport	IV
BKW	Raleigh County Memorial Airport	IV
BLI	Bellingham International Airport	III
BMI	Central Illinois Regional Airport	III
BNA	Nashville International Airport	I
BOI	Boise Air Terminal/Gowen Field	I
BOS	Logan International Airport	X
BPT	Southeast Texas Regional Airport	IV
BQK	Glynco Jetport	IV
BQN	Rafael Hernandez Airport	III
BRD	Brainerd Lakes Regional Airport	IV
BRL	Southeast Iowa Regional Airport Authority	IV
BRO	Brownsville/ South Padre International Airport	III
BRW	Wiley Post / Will Rogers Memorial Airport	III
BTM	Bert Mooney Airport	III
BTR	Baton Rouge Metropolitan Airport	II
BTV	Burlington International Airport	II
BUF	Buffalo Niagra International Airport	I
BUR	Burbank	I
BWI	Baltimore Washington International Airport	X
BZN	Gallatin Field Airport	II
CAE	Columbia Metropolitan Airport	II
CAK	Akron-Canton Regional Airport	II
CDC	Cedar City Municipal Airport	IV
CDR	Chadron Municipal Airport	IV
CDV	Merle K (MUDHOLE) Smith	III
CEC	Crescent City Airport	IV
CEF	Westover Metropolitan Airport	III
CEZ	Cortez Municipal Airport	IV
CGI	Cape Girardeau Regional Airport	IV
CHA	Chattanooga Metropolitan Airport	II
CHO	Charlottesville/ Albermarle Airport	III
CHS	Charleston International Airport	II
CIC	Chico Municipal Airport	IV
CID	The Eastern Iowa Airport	II
CIU	Chippewa County International Airport	IV
CKB	Harrison-Marion Regional Airport	IV



<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
CLE	Cleveland Hopkins International	I
CLL	Easterwood Airport	III
CLT	Charlotte Douglas International	X
CMH	Port Columbus Airport	I
CMI	University of Illinois-Williard Airport	III
CMX	Houghton County Memorial Airport	IV
CNY	Canyonlands Field Airport	IV
COD	Yellowstone Regional Airport	IV
COS	Colorado Springs Municipal	I
COU	Columbia Regional Airport	IV
CPR	Natrona International Airport	III
CRP	Corpus Christi Airport	II
CRQ	McClellan-Palomar Airport	IV
CRW	Yeager Regional Airport	II
CSG	Columbus Metropolitan Airport	III
CVG	Cincinnati/Northern Kentucky Intl. Airport	X
CWA	Central Wisconsin Regional Airport	III
CYS	Cheyenne Airport	IV
DAB	Daytona Beach International Airport	II
DAL	Dallas Love Field	I
DAY	James M. Cox Dayton International	I
DBQ	Dubuque Regional Airport	IV
DCA	Ronald Reagan Washington National	X
DDC	Dodge City Regional Airport	IV
DEC	Decatur Airport	IV
DEN	Denver International Airport	X
DFW	Dallas/Fort Worth International Airport	X
DHN	Dothan-Houston County Airport	III
DIK	Dickinson Municipal Airport	IV
DLG	Dillingham Airport	III
DLH	Duluth International Airport	III
DRO	Durango-LaPlata County Airport	III
DRT	Del Rio International Airport	IV
DSM	Des Moines International Airport	II
DTW	Detroit Metro Wayne County Airport	X
DUJ	Dubois-Jefferson County Airport	IV
DVL	Devils Lake Municipal Airport (Knoke Field)	IV
EAR	Kearney Municipal Airport	IV
EAT	Pangborn Memorial Airport	III
EAU	Chippewa Valley Regional Airport	IV
ECP	Northwest Florida Beaches Intl Airport	III
EGE	Eagle County Regional Airport	III
EKO	Elko Regional Airport	IV
ELM	Elmira-Corning Regional Airport	III

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
ELP	El Paso International Airport	I
ELY	White Pine County Airport	IV
ENA	Kenai Municipal Airport	IV
ENV	Wendover Airport	III
ERI	Erie International Airport	III
ESC	Delta County Airport	IV
EUG	Eugene Airport/ Mahlon Sweet Field	II
EVV	Evansville Regional Airport	III
EWN	Craven County Regional Airport	III
EWR	Newark International Airport	X
EYW	Key West International Airport	II
FAI	Fairbanks International Airport	II
FAR	Hector International Airport	II
FAT	Fresno Yosemite International Airport	II
FAY	Fayetteville Regional Airport	III
FKL	Venango Regional Airport	IV
FLG	Flagstaff Pulliam Airport	III
FLL	Ft. Lauderdale-Hollywood International	X
FLO	Florence Regional Airport	IV
FMN	Four Corners Regional Airport	IV
FNL	Fort Collins-Loveland Municipal Airport	III
FNT	Bishop International Airport	II
FOD	Fort Dodge Municipal Airport	IV
FOE	Forbes Field	IV
FSD	Sioux Gateway Airport	III
FSD	Joe Foss Field	II
FSM	Fort Smith Municipal Airport	III
FWA	Ft. Wayne International Airport - Baer Field	II
GBD	Great Bend Municipal Airport	IV
GCC	Gillette-Campbell County Airport	III
GCK	Garden City Municipal Airport	IV
GCN	Grand Canyon National Park Airport	III
GDV	Dawson Community Airport	IV
GEG	Spokane Int'l	I
GFK	Grand Forks Mark Andrews International Airport	III
GGG	Gregg County Airport	III
GGW	Glasgow International / Wokal Field	IV
GJT	Grand Junction Regional	III
GLH	Mid Delta Regional Airport	IV
GNV	Gainesville Regional Airport	III
GPI	Glacier Park Airport	III
GPT	Gulfport	II
GRB	Austin Straubel International Airport	II
GRI	Central Nebraska Regional Airport	IV

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
GRK	Killeen-Gray Regional Airport	III
GRO	Rota International Airport	IV
GRR	Gerald R. Ford International Airport	II
GSN	Saipan International Airport	II
GSO	Piedmont-Triad Airport	I
GSP	Greenville-Spartanburg Airport	II
GST	Gustavus Airport	III
GTF	Great Falls International Airport	III
GTR	Golden Triangle Regional Airport	IV
GUC	Gunnison-Crested Butte Regional Airport	III
GUM	Antonio B. Won Pat Guam Int'l	I
GYG	Gary Regional Airport	III
HDN	Yampa Valley Regional Airport	III
HGR	Hagerstown Regional Airport	IV
HIB	Chisholm-Hibbing Municipal Airport	IV
HLN	Helena Regional Airport	III
HNL	Honolulu Airport	X
HOB	Lea County Regional Airport	III
HOM	Homer Airport	IV
HON	Huron Regional Airport	IV
HOU	William P. Hobby Airport	I
HPN	Westchester County Airport	II
HRL	Rio Grande Valley International Airport	II
HSV	Huntsville-Madison County Airport	II
HTS	Tri-State Airport	III
HVN	Tweed - New Haven Airport	IV
HVR	Havre City-County Airport	IV
HXD	Hilton Head Airport	III
HYA	Barnstable Municipal Airport	III
HYS	Hays Regional Airport	IV
IAD	Washington-Dulles International Airport	X
IAG	Niagara Falls International Airport	IV
IAH	George Bush Intercontinental Airport Houston	X
ICT	Wichita Mid-Continent Airport	II
IDA	Idaho Falls Regional Airport	III
IFP	Laughlin/ Bullhead City Airport	III
IGM	Kingman Airport Authority, Inc	IV
ILM	Wilmington International Airport	II
IMT	Ford Airport	IV
IND	Indianapolis International Airport	I
INL	Falls International Airport	IV
IPL	Imperial County Airport	IV
IPT	Williamsport Regional Airport	IV
IRK	Kirksville Regional Airport	IV

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
ISN	Sloulin Field International Airport	IV
ISO	Kinston Regional Jetport	III
ISP	Long Island Macarthur Airport	II
ITH	Ithaca Tompkins County Airport	IV
ITO	Hilo International Airport	II
IWA	Phoenix-Mesa Gateway Airport	III
IWD	Gogebic Iron County Airport	IV
IYK	Indian Wells Valley Airport District	IV
JAC	Jackson Hole Airport	II
JAN	Jackson International Airport	II
JAX	Jacksonville International Airport	I
JFK	John F. Kennedy International	X
JHM	Kapalua Airport	IV
JHW	Chautauqua County Airport	IV
JLN	Joplin Regional Airport	IV
JMS	Jamestown Municipal Airport	IV
JNU	Juneau International Airport	II
JST	Johnstown-Cambria County Airport	IV
KOA	Kona International Airport	I
KTN	Ketchikan International Airport	III
LAL	Lakeland Linder Regional Airport	III
LAN	Capital City Airport	II
LAR	Laramie Regional Airport	IV
LAS	McCarran International Airport	X
LAW	Lawton/ Ft. Sill Regional Airport	IV
LAX	Los Angeles International Airport	X
LBB	Lubbock International Airport	II
LBE	Arnold Palmer Regional Airport	IV
LBF	North Platte Regional Airport	IV
LBL	Liberal Mid-America Regional Airport	IV
LCH	Lake Charles Regional Airport	IV
LCK	Rickenbacker International Airport	III
LEB	Lebanon Municipal Airport	IV
LEW	Lewiston Nez-Perce County Regional Airport	III
LEX	Blue Grass Airport	II
LFT	Lafayette Regional Airport	III
LGA	LaGuardia Airport	X
LGB	Long Beach	I
LIH	Lihue Airport	I
LIT	Little Rock National Airport	I
LMT	Klamath Falls Airport	IV
LNK	Lincoln Airport	III
LNS	Lancaster Airport	IV
LNK	Lancaster Airport	IV
LNK	Lancaster Airport	IV
LNY	Lanai Airport	IV

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
LRD	Laredo International Airport	III
LSE	LaCrosse Municipal Airport	III
LWB	Greenbrier Valley Airport	IV
LWT	Lewistown Municipal Airport	IV
LYH	Lynchburg Regional Airport	IV
MAF	Midland International Airport	II
MBL	Manistee County Blacker Airport	IV
MBS	MBS International Airport	III
MCE	Merced Municipal Airport	IV
MCI	Kansas City International Airport	I
MCK	McCook Regional Airport	IV
MCN	Middle Georgia Regional Airport	III
MCO	Orlando International Airport	X
MCW	Mason City Municipal Airport	IV
MDT	Harrisburg International Airport	II
MDW	Chicago Midway Airport	I
MEI	Meridian Regional Airport - Key Field	IV
MEM	Memphis International Airport	I
MFE	McAllen - Miller International Airport	II
MFR	Rogue Valley International - Medford	II
MGM	Montgomery Regional Airport (Dannelly Field)	III
MGW	Morgantown Municipal Airport	IV
MHK	Manhattan Regional Airport	IV
MHT	Manchester Boston Regional Airport	I
MIA	Miami International Airport	X
MKE	General Mitchell Intl Airport	I
MKG	Muskegon County Regional Airport	IV
MKK	Molokai Airport	IV
MLB	Melbourne International Airport	II
MLI	Quad Cities International Airport	II
MLS	Wiley Field Airport	IV
MLU	Monroe Regional Airport	IV
MMH	Mammoth Lakes Airport	IV
MOB	Mobile Regional Airport	II
MOD	Modesto City County Airport H Sham Field	IV
MOT	Minot International Airport	III
MRY	Monterey Regional Airport	III
MSL	Northwest Alabama Regional Airport (Muscle Shoals)	IV
MSN	Dane County Regional Airport	II
MSO	Missoula International Airport	II
MSP	Minneapolis-St. Paul International Arpt	X
MSS	Massena International Airport	IV
MSY	Louis Armstrong New Orleans International Airport	I
MTJ	Montrose County Airport	III

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
MVY	Martha's Vineyard Airport	III
MWA	Williamson County Airport	IV
MYR	Myrtle Beach International Airport	II
NYL	Yuma International Airport	IV
OAJ	Albert J Ellis Airport	III
OAK	Oakland International Airport	I
OGG	Kahului Airport	I
OGS	Ogdensburg International Airport	IV
OKC	Will Rogers World Airport	I
OLF	L. M. Clayton / Wolf Point Airport	IV
OMA	Eppley Airfield	I
OME	Nome Airport	III
ONT	Ontario International Airport	I
ORD	O'Hare International Airport	X
ORF	Norfolk International Airport	I
ORH	Worcester Regional Airport	IV
OTH	Southwest Oregon Regional Airport	IV
OTZ	Kotzebue Ralph Wien Memorial Airport	III
OWB	Owensboro Daviess County Airport	IV
PAH	Barkley Regional Airport	IV
PBG	Plattsburg Regional Airport	IV
PBI	Palm Beach International Airport	I
PDX	Portland International	I
PGA	Page Municipal Airport	IV
PGD	Charlotte County Airport	III
PGV	Pitt-Greenville Airport	IV
PHF	Newport News / Williamsburg International Airport	II
PHL	Philadelphia International Airport	X
PHX	Phoenix Sky Harbor International Airport	X
PIA	Greater Peoria Airport	III
PIB	Hattiesburg- Laurel Regional Airport	IV
PIE	St. Petersburg-Clearwater International Airport	II
PIH	Pocatello Regional Airport	III
PIR	Pierre Regional airport	IV
PIT	Pittsburgh International Airport	I
PKB	Mid-Ohio Valley Regional Airport	IV
PLN	Pellston Regional Airport	IV
PNS	Pensacola Gulf Coast Regional Airport	II
PPG	Pago Pago-American Samoa Airport	III
PQI	Northern Maine Regional Airport	IV
PRC	Prescott Municipal Airport	IV
PSC	Tri-Cities Airport	III
PSE	Mercedia Airport	III
PSG	Petersburg Airport	III

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
PSP	Palm Springs International Airport	II
PUB	Pueblo Memorial Airport	III
PUW	Pullman / Moscow Regional Airport	III
PVC	Provincetown Municipal Airport	IV
PVD	T F Green State Airport	I
PVU	Provo Municipal Airport	III
PWM	Portland International Jetport	II
RAP	Rapid City Regional Airport	II
RDD	Redding Municipal Airport	III
RDG	Reading Regional Airport	IV
RDM	Roberts Field	III
RDU	Raleigh-Durham International Airport	I
RFD	Greater Rockford Airport	III
RHI	Rhineland - Oneida county Airport	IV
RIC	Richmond International Airport	I
RIW	Riverton Regional Airport	IV
RKD	Knox County Regional Airport	IV
RKS	Rock Springs - Sweetwater County Airport	IV
RME	Griffiss Air Field	II
RNO	Reno/Tahoe International Airport	I
ROA	Roanoke Regional Airport	II
ROC	Greater Rochester International Airport	I
ROW	Roswell International Air Center	IV
RST	Rochester International Airport	III
RSW	Southwest Florida International Airport	I
RUT	Rutland State Airport	IV
SAF	Santa Fe Municipal Airport	IV
SAN	San Diego International Airport, Lindbergh	I
SAT	San Antonio International Airport	I
SAV	Savannah International Airport	II
SAW	Sawyer International Airport	IV
SBA	Santa Barbara Municipal Airport	II
SBN	South Bend Regional Airport	II
SBP	San Luis Obispo County Airport	III
SBY	Salisbury / Wicomico County Regional Airport	IV
SCC	Deadhorse Airport	III
SCK	Stockton Regional Airport	III
SDF	Louisville International Airport	I
SDY	Sidney-Richland Airport	IV
SEA	Seattle-Tacoma Intl. Airport	X
SFB	Orlando Sanford Airport	II
SFO	San Francisco Intl Airport	X
SGF	Springfield / Branson Regional Airport	II
SGU	St. George Municipal Airport	IV

<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
SHD	Shenandoah Valley Airport	IV
SHR	Sheridan County Airport	IV
SHV	Shreveport Regional Airport	II
SIT	Sitka 'Rocky Gutierrez' Airport	III
SJC	San Jose International Airport	I
SJT	San Angelo Regional Airport	III
SJU	Luis Munoz Marin International Airport	X
SLC	Salt Lake City Intl Airport	I
SLK	Adirondack Regional Airport	IV
SMF	Sacramento International Airport	I
SMX	Santa marie Public Airport	III
SNA	John Wayne Airport	I
SOW	Show Low Regional Airport	IV
SPI	Capital Airport	III
SPS	Sheppard AFB / Wichita Falls Municipal Airport	III
SRQ	Sarasota Bradenton International Airport	II
STL	Lambert St Louis International Airport	X
STS	Charles M. Schulz-Sonoma County Airport	III
STT	Cyril E. King International Airport	II
STX	Henry E. Rohlsen Airport	III
SUN	Friedman Memorial Airport	III
SWF	Stewart Airport	II
SYR	Syracuse International Airport	II
TBN	Forney Army Airfield	IV
TEX	Telluride Regional Airport	IV
TLH	Tallahassee Regional Airport	II
TOL	Toledo Express Airport	II
TPA	Tampa International Airport	I
TRI	Tri-Cities Regional Airport	III
TUL	Tulsa International Airport	I
TUP	Tupelo Regional Airport	IV
TUS	Tucson International Airport	I
TVC	Cherry Capital Airport	III
TVF	Thief River Falls Regional Airport	IV
TWF	Joslin Field, Magic Valley Regional Airport	IV
TXK	Texarkana Regional Airport	III
TYR	Tyler Ponds Field Airport	III
TYS	McGhee Tyson Airport	II
UIN	Quincy Regional Airport - Baldwin Field	IV
UNV	University Park Airport	IV
UTA	Tunica Municipal Airport	III
VCT	Victoria Regional Airport	IV
VDZ	Valdez Airport	IV
VEL	Vernal / Uintah County Airport	IV



<b>Airport Code</b>	<b>Airport Name</b>	<b>CAT</b>
VIS	Visalia Municipal Airport	IV
VLD	Valdosta Municipal Airport	III
VPS	Northwest Florida Regional Airport	II
WRG	Wrangell Airport	III
WRL	Worland Muni Airport	IV
WYS	Yellowstone Airport	IV
XNA	Northwest Arkansas Regional Airport	II
YAK	Yakutat Airport	III
YKM	Yakima Air Terminal - McAllister Field	III
YNG	Youngstown - Warren Regional Airport	III

# **Department of Homeland Security**

*Transportation Security Administration  
Aviation Security*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Transportation Security Administration Aviation Security**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and expenses:**

The Aviation and Transportation Security Act (ATSA), P.L. 107-71, enacted on November 19, 2001, established the Transportation Security Administration (TSA) to protect the transportation system and ensure the freedom of movement for people and commerce. The Aviation Security Appropriation consists of programs whose primary focus is to secure aviation transportation. The path to achieving this mission has evolved in the years since the September 11<sup>th</sup> attacks. Enhancements in aviation security have included emphasis in explosives detection training and technology, modifications to the prohibited items list, and changes to TSA security screening protocols.

#### **B. Budget Activities:**

The Aviation Security appropriation includes two distinct components: (1) Transportation Security Officer (TSO) Operations and Equipment and (2) Aviation Direction and Enforcement.

TSO Operations and Equipment includes the Programs, Projects and Activities (PPAs) that support the pay, training, outfitting, and operating costs for the TSO workforce. Funding is also included for checkpoint support, purchase, installation, and maintenance of screening equipment, to include Advanced Imaging Technology (AIT), Explosives Detection Systems (EDS) and Explosives Trace Detection machines (ETD).

Aviation Direction and Enforcement includes activities that ensure TSA continues to build a strong security regulation and enforcement presence on-site at the Nation's commercial airports. Funding requested supports air cargo and airport/airline regulation compliance through inspections, international programs, and the airport management and direction staff and airport administrative support.

Terrorism in the aviation domain is an enduring and highly adaptive threat. Terrorists study our vulnerabilities to learn how to exploit our procedural and technological security gaps to increase the lethality and political impact of their attacks. Aviation continues to be a target of coordinated terrorist activity and despite all efforts and advances in intelligence, technology, and screening processes, the threat to the U.S. transportation sector remains high. Examples include the 2010 attempted bombing of a cargo jet using a bomb disguised as an ink jet cartridge, the 2009 attempted attack of Northwest Airlines Flight 253 from Amsterdam to Detroit on Christmas Day, an alleged terrorist plot to detonate liquid explosives onboard multiple aircraft departing from the United Kingdom for the United States in August 2006, and terrorists' intended attacks on U.S.-bound flights originating from multiple foreign airports in December 2003.

Since its inception, TSA has significantly reduced terrorist threats through a multi-layered, risk-based, intelligence-driven approach to security. TSA is undertaking efforts to test new security protocols to improve the passenger experience at aviation security checkpoints by applying new risk-based, intelligence-driven screening procedures and enhancing its use of technology. TSA's risk-based, intelligence-driven screening approach is based on the following premises:

- These efforts will enhance security at the Nation's airports.
- The majority of airline passengers are low risk.
- By having passengers voluntarily provide more information about themselves, TSA can better segment the population in terms of risk.
- Behavior detection and interviewing techniques should be strengthened in the screening process.
- TSA must continue its efforts to optimize screening processes and use of technology to gain system-wide efficiencies.
- TSA must better calibrate operational responses to specific threat information.

TSA will explore new procedures and technologies to learn more about the individuals who fly and tailor security accordingly while balancing five overarching objectives:



In an effort to continuously improve aviation transportation security, TSA began undertaking new initiatives to focus its resources and improve the passenger experience at aviation security checkpoints by applying new risk-based, intelligence driven screening procedures and enhancing the use of technology. These changes included providing expedited screening procedures for known travelers through the TSA Pre✓™ program. TSA Pre✓™ places more focus on pre-screening individuals who volunteer to participate in order to expedite the travel experience. TSA Pre✓™ expedited screening procedures include options such as no longer removing shoes, leaving laptops in the bag, leaving on light jackets/outerwear and belts, and leaving compliant liquids/aerosols/gels in the carry-on bag. Building on the initial success of the first four TSA Pre✓™ proof of concept airport checkpoints launched in October 2011, TSA is working with diverse partners and stakeholders to add additional airlines and airports once operationally ready.

TSA is conducting a host of other strategically-aligned activities to build on the concept of a risk-based, intelligence-driven approach to passenger screening, including modified screening procedures for the 60,000 children traveling nationwide through the aviation system each day, and a Known Crewmember proof of concept that provides a dedicated location for aircraft operator crew members traveling in uniform to be screened using alternate procedures as part of a layered, risk-based security approach. TSA is also piloting enhanced behavior detection techniques in which specialized behavioral analysis techniques have been used to determine if a traveler should be referred for additional screening at the checkpoint. Analyses from multiple proof of concept efforts will inform next steps for how larger-scale implementation could improve capabilities in a risk-based security environment.

While TSA is testing these new procedures and technologies, the agency must retain a certain element of randomness to prevent terrorists from exploiting aviation security. The testing of these concepts holds the potential to significantly change the travel experience. If the pilot programs prove successful, these changes will allow officers to better focus their efforts on passengers who are more likely to pose a risk to transportation. TSA has funded and will continue to fund these programs within base resources, as investments in risk-based screening will be offset by savings achieved through a more targeted screening process. These savings will be identified in future budgets as adjustments-to-base as a result of risk-based screening.

### **C. Budget Request Summary:**

The Transportation Security Administration requests 58,783 positions, 54,088 FTE, and \$5,098,639,000 in discretionary appropriated funding for the Aviation Security appropriation. This appropriation also includes an additional \$250,000,000 in mandatory fee collections (0 FTP/FTE) for a total budget authority of \$5,348,649,000. The total adjustment-to-base includes an increase of 34 positions and 1,383 FTE; and a decrease of \$6,215,000 in appropriated funding, and a decrease of \$149,102,000 in program changes including:

- Reduction in Checkpoint Support of \$31,046,000.
- Reduction in Explosives Detection Systems (EDS) Procurement and Installation of \$87,815,000
- Reduction in Screening Technology Maintenance of \$17,600,000

- Reduction in Federal Flight Deck Officer (FFDO) and Flight Crew Training of \$12,641,000

TSA also requests an adjustment to the aviation security passenger fee (0 FTP/0 FTE, \$317,159,000), of which \$117,000,000 will increase TSA's discretionary offsetting collections and \$200,159,000 will be applied as mandatory savings for the purpose of deficit reduction.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Transportation Security Administration Aviation Security<sup>1</sup>

Summary of FY 2013 Budget Estimates by Program Project Activity  
FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Screening Partnership Program `	-	-	153,289	-	-	144,193	-	-	143,190	-	-	(1,003)	-	-	-	-	-	(1,003)
Screener - PC&B	51,503	46,413	2,958,916	52,877	47,245	3,025,771	52,877	48,356	3,107,649	-	1,111	81,878	-	-	-	-	1,111	81,878
Screening Training and Other	74	67	228,742	48	47	249,796	66	64	225,012	18	17	(24,784)	-	-	-	18	17	(24,784)
Checkpoint Support	74	54	240,332	54	52	204,768	61	59	120,239	7	7	(84,529)	-	-	(31,046)	7	7	(53,483)
EDS Procurement and Installation	136	119	595,651	120	114	222,738	122	116	117,349	2	2	(105,389)	-	-	(87,815)	2	2	(17,574)
Screening Technology Maintenance	-	-	322,555	-	-	320,365	-	-	309,000	-	-	(11,365)	-	-	(17,600)	-	-	6,235
Operation Integration	-	-	29,271	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Aviation Regulation and Other Enforcement	1,431	1,118	276,228	1,726	1,482	369,984	1,732	1,662	371,989	6	180	2,005	-	-	-	6	180	2,005
Airport Management and Support	2,622	2,313	488,672	3,081	2,974	570,226	3,082	3,022	569,615	1	48	(611)	-	-	-	1	48	(611)
FFDO and Flight Crew Training	44	29	23,518	44	42	25,461	44	42	12,500	-	-	(12,961)	-	-	(12,641)	-	-	(320)
Air Cargo	756	706	132,607	799	749	120,654	799	767	122,096	-	18	1,442	-	-	-	-	18	1,442
<b>Subtotal, Appropriated</b>	<b>56,640</b>	<b>50,819</b>	<b>5,449,781</b>	<b>58,749</b>	<b>52,705</b>	<b>5,253,956</b>	<b>58,783</b>	<b>54,088</b>	<b>5,098,639</b>	<b>34</b>	<b>1,383</b>	<b>(155,317)</b>	<b>-</b>	<b>-</b>	<b>(149,102)</b>	<b>34</b>	<b>1,383</b>	<b>(6,215)</b>
<b>Total, Discretionary Fees</b>																		
Indirect Air Cargo – Fee			507															
<b>Subtotal, Gross Discretionary</b>	<b>56,640</b>	<b>50,819</b>	<b>5,450,288</b>	<b>58,749</b>	<b>52,705</b>	<b>5,253,956</b>	<b>58,783</b>	<b>54,088</b>	<b>5,098,639</b>	<b>34</b>	<b>1,383</b>	<b>(155,317)</b>	<b>-</b>	<b>-</b>	<b>(149,102)</b>	<b>34</b>	<b>1,383</b>	<b>(6,215)</b>
<b>Mandatory Fees</b>																		
Aviation Security Capital Fund (ASCF)	-	-	60,989	-	-	250,000	-	-	250,000	-	-	-	-	-	-	-	-	-
<b>Subtotal, Mandatory Fees</b>			<b>60,989</b>			<b>250,000</b>			<b>250,000</b>									
<b>Total, Aviation Security Budget Authority</b>	<b>56,640</b>	<b>50,819</b>	<b>5,511,277</b>	<b>58,749</b>	<b>52,705</b>	<b>5,503,956</b>	<b>58,783</b>	<b>54,088</b>	<b>5,348,639</b>	<b>34</b>	<b>1,383</b>	<b>(155,317)</b>	<b>-</b>	<b>-</b>	<b>(149,102)</b>	<b>34</b>	<b>1,383</b>	<b>(6,215)</b>
<b>Less: Adjustments for Other Funding Sources- Discretionary Fees</b>																		
Aviation Security Fees – Discretionary –			(1,997,901)	-	-	(2,054,486)	-	-	(2,209,176)			(154,690)			(117,000)			(37,690)



Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
<b>Offsetting Fees</b>																		
Aviation Passenger Security Fees – Base (less ACSF)	-	-	(1,597,535)	-	-	(1,634,486)	-	-	(1,672,176)	-	-	(37,690)	-	-	-	-	-	(37,690)
Aviation Passenger Security Fees – Increase (less Aviation Security, Deficit Reduction)									(117,000)			(117,000)			(117,000)			
Aviation Security Infrastructure Fee (ASIF)	-	-	(400,366)	-	-	(420,000)	-	-	(420,000)	-	-	-	-	-	-	-	-	-
<b>Aviation Passenger Security Fees – Mandatory Fees</b>																		
Aviation Security Capital Fund (ASCF)	-	-	(250,000)	-	-	(250,000)	-	-	(250,000)	-	-	-	-	-	-	-	-	-
Aviation Security, Deficit Reduction [Non-Add]									(200,159)			(200,159)			(200,159)			
<b>Total Aviation Security (Net Discretionary, before rescission)</b>	<b>56,640</b>	<b>50,819</b>	<b>3,452,387</b>	<b>58,749</b>	<b>52,705</b>	<b>3,199,470</b>	<b>58,783</b>	<b>54,088</b>	<b>2,889,463</b>			<b>(310,007)</b>			<b>(266,102)</b>			<b>(43,905)</b>
<b>Less: Sources Prior-Year Rescission</b>									<b>(71,300)</b>									
<b>Total Aviation Security (Net Discretionary, less rescission)</b>	<b>56,640</b>	<b>50,819</b>	<b>3,452,387</b>	<b>58,749</b>	<b>52,705</b>	<b>3,128,170</b>	<b>58,783</b>	<b>54,088</b>	<b>2,889,463</b>			<b>(310,007)</b>			<b>(266,102)</b>			<b>(43,905)</b>

<sup>1</sup> The total FY 2011 – FY 2013 amounts reflect both discretionary and mandatory funding.

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screening Partnership Program  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Screening Partnership Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>153,289</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>144,193</b>
2013 Adjustments-to-Base	-	-	(1,003)
<b>2013 Current Services</b>	-	-	<b>143,190</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>143,190</b>
Total Change 2012 to 2013	-	-	(1,003)

TSA requests \$143.2 million for the Screener Partnership Program. The adjustments-to-base include a decrease of \$1.0 million for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Screener Partnership Program (SPP) was established under Section 108 of the ATSA to permit an airport operator to request screening services through a private screening company. There are currently 16 airports participating in the program. Private screening contractors are to perform equal to or better than Federal screening operations under Federal oversight following the same operating procedures, which are continuously updated to ensure both Federal and private screening airports are able to mitigate any new threats which have been identified.

Below is a list of the 16 airports currently participating in the program:

San Francisco International Airport (SFO)	Roswell Industrial Airport (ROW)
Kansas City International Airport (MCI)	Dawson Community Airport (GDV)
Greater Rochester International Airport (ROC)	Wokal Field (GGW)
Jackson Hole Airport (JAC)	Havre City-County Airport (HVR)
Tupelo Regional Airport (TUP)	Lewiston Municipal Airport (LEW)
Sioux Falls Joe Foss Field Regional Airport (FSD)	Frank Wiley Field (MLS)
Key West International Airport (EYW)	Clayton Airport (CAO)
Charles Schulz – Sonoma County Airport (STS)	Sidney-Richland Regional Airport (SDY)

In FY 2013, the Screening Partnership Program PPA will be reduced by \$1.0 million due to efficiencies from the purchase of supplies and materials, as well as the operation and maintenance of equipment, and other expenses.

**Management Efficiencies – (\$1.003 Million)**  
**(dollars in thousands)**

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$2)
General TDY	(\$2)	
Management Adjustments		(\$1,001)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screener PC&B  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Screener PC&B**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>51,503</b>	<b>46,413</b>	<b>2,958,916</b>
<b>2012 Enacted Budget Authority</b>	<b>52,877</b>	<b>47,245</b>	<b>3,025,771</b>
2013 Adjustments-to-Base	-	1,111	81,878
<b>2013 Current Services</b>	<b>52,877</b>	<b>48,356</b>	<b>3,107,649</b>
<b>2013 Total Requested Budget Authority</b>	<b>52,877</b>	<b>48,356</b>	<b>3,107,649</b>
Total Change 2012 to 2013	-	1,111	81,878

TSA requests \$3.1 billion for Screener PC&B. The adjustments-to-base include: an increase of \$11.3 million for pay COLA, an increase of 402 FTE and a \$24.9 million for annualizations of Transportation Security Officers (TSO) received in FY 2012; an increase of 72 FTE and \$6.3 million for the annualization of Behavior Detection Officers received in FY 2012; and an increase of 637 FTE and \$40.1 million to annualize second year funding for screeners to staff initial 1,000 Advanced Imaging Technology equipment; and a decrease of \$771,000 for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Passenger and baggage screening protects commercial air travelers by detecting and removing dangerous or deadly objects that individuals attempt to smuggle onto aircraft, either on their person, and in their carry-on or checked baggage. TSA’s screening process must strike the appropriate balance between preventing security breaches and maintaining the efficient movement of law-abiding passengers through the security checkpoints. After passenger check-in, TSOs use various types of electronic detection and imaging machines, including X-ray machines, Explosives Trace Detection (ETD) equipment, Walk-Through Metal Detectors (WTMD), Advanced Imaging Technology (AIT), and hand-held metal detectors. At the checkpoints, TSOs may perform physical searches of carry-on baggage and pat-down searches of airline passengers, crew, and airport employees. This is in conjunction with the use of behavior recognition techniques and the validation of travel documents.

TSA began deploying state-of-the-art AITs in 2007. This technology can detect a wide range of threats to transportation security in a matter of seconds to protect passengers and crews. Imaging technology is an integral part of TSA's effort to continually look for new technologies that help ensure travel remains safe and secure by staying ahead of evolving threats. TSA uses two types of imaging technology, millimeter wave and backscatter. As of January 2012, there are 563 AIT units at 119

airports. AIT screening is safe for all passengers, and the technology meets national health and safety standards. TSA has implemented strict measures to protect passenger privacy, which is ensured through the anonymity of the image. Additionally, AIT screening is optional to all passengers; however, if a passenger opts out, they will be subject to comparable screening. Since 2010, the size of the TSO workforce has increased to facilitate the deployment of AIT machines. In FY 2011, TSA hired 8,000 new TSOs. These additional TSOs have helped facilitate the successful rollout of the AIT fleet, which has significantly enhanced the detection capabilities for non-metallic threats. The FY 2013 request annualizes positions authorized to be hired in FY 2012 in order to operate these machines.

### TSO Workforce

ATSA established the employment standards for security screening personnel. Security screening personnel - both private and Federal - are required to be U.S. citizens; pass a background investigation; and have a high school diploma, a general equivalency diploma, or sufficient experience. Newly hired officers must undergo extensive training and be certified to screen passengers and baggage through the use of detection equipment. The screening workforce is subject to ongoing training and testing requirements. Failure to pass any phase of training or a certification examination is grounds for employment termination.

TSOs are just one of the layers of security needed to thwart the threats to the aviation system. TSA has added more specialized security positions with different skill sets, such as Travel Document Checkers (TDCs) and BDOs, to enhance the level of security and to move security beyond the checkpoint environment. TSA has seen the benefits of these new positions in providing a career path for TSOs, which has had a direct impact on reducing attrition and enabling TSA to retain a more tenured TSO workforce.

The TSO budgeted FTE levels are broken down as follows:

### TSO Budgeted FTE by Job Title <sup>1</sup>

Job Title	Band	FY 2011 FTE	FY 2012 FTE <sup>2</sup>	FY 2013 FTE
TSO	D,E	31,636	31,533	32,551
Lead /Master	F	6,615	6,615	6,615
Supervisory/Expert TSO	G	4,850	4,850	4,850
BDOs	F,G,H,I	2,986	3,059	3,131
Transportation Security Specialist (formerly called Bomb Appraisal Officers)	H, I	406	Realigned to Airport Mgmt	Realigned to Airport Mgmt
Managers	H, I	1,137	1,188	1,209
<b>TOTAL</b>		<b>47,630</b>	<b>47,245</b>	<b>48,356</b>

1/ The TSO workforce is composed of approximately 14,000 part time TSOs and 37,000 full time TSOs.

2/ The TSO FTE level in FY 2012 was adjusted downward by 1,860 FTE (after adjusting for annualizations and program increases). This technical adjustment is proposed to more accurately reflect sustainable staffing levels. There is not a concurrent reduction to budgetary resources.

**Job Descriptions:**

- Transportation Security Officers (TSO) – Front-line workforce performing checkpoint security, document checking, airport employee screening and unpredictable security measures.
- Lead TSO/Master TSO – Provides intermediary leadership at the checkpoint. Master TSOs can also perform training duties and operate in airport coordination centers.
- Supervisory TSO (STSO)/Expert TSO – Supervises checkpoint operations. Expert TSOs can also perform training duties and operate in airport coordination centers.
- Behavior Detection Officers (BDO) – Perform Screening Passengers by Observation Technique duties.
- Transportation Security Specialist-Explosives (TSS-E) (formerly Bomb Appraisal Officers (BAOs)) – Provide expert guidance on explosive devices, respond to and resolve alarms.
- Transportation Security Managers – Perform overall oversight duties of security operations.

**TSO FTE Allocated to Security Duties**

<b>Job Duty</b>	<b>FY 2011 FTE</b>	<b>FY 2012 FTE</b>	<b>FY 2013 FTE</b>
TDC	2,001	2,001	2,001
Playbook/REFs	1,654	1,654	1,654
BDOs	2,986	3,059	3,131
Transportation Security Specialist (formerly called Bomb Appraisal Officers)	406	Realigned to Airport Mgmt	Realigned to Airport Mgmt
Checkpoint/Other	40,583	40,531	41,570
<b>TOTAL</b>	<b>47,630</b>	<b>47,245</b>	<b>48,356</b>

TSA has installed labor-saving technology in many airports around the country. Most notable, in-line checked baggage systems have reduced the staffing required for baggage checks and have reduced costly workplace injuries. These efficiencies have allowed TSA to invest in other effective security measures, such as TDCs, Aviation Direct Access Screening Program/Playbook, BDOs and TSS-Es. Please see the table below for a cumulative list of reinvested resources.

<b>Estimated Cost Avoidance from In-Line Savings</b>		
	FTE	Dollars <sup>1</sup>
Cumulative through FY 2011	2,482	\$139,572,833

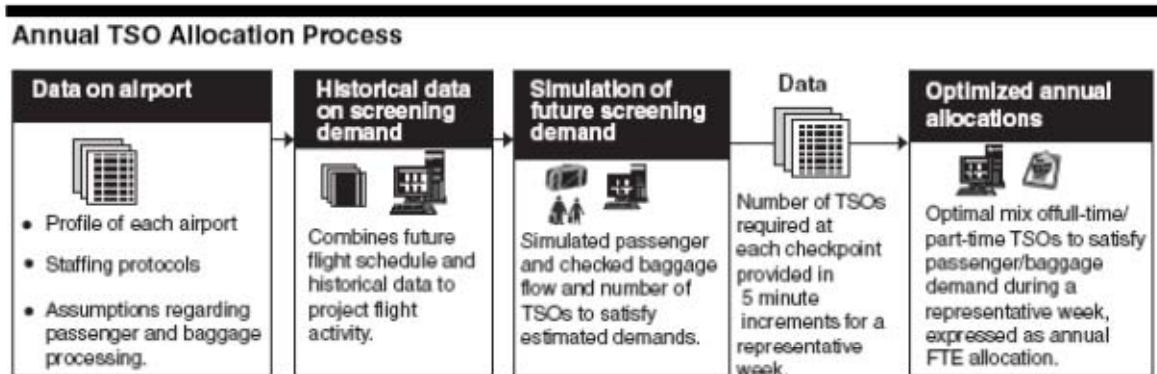
1/Estimated FTE avoidances multiplied by the weighted average of TSOs, Lead, and Supervisory TSO Salaries.

<b>Within-Base Growth of Security Programs</b>			
	Total Budgeted FTE	Self Funded FTE	% of FTE Self Funded
Travel Document Checker	2,001	1,086	54%
Target Random Security Plays	1,654	904	55%
Behavior Detection Officers	2,986	2,326	78%
TSS-Es (formally BAOs)	406	297	73%
<b>TOTAL</b>	<b>7,047</b>	<b>4,613</b>	<b>65%</b>

### Workforce Initiatives

TSA determines and allocates FTE to the airports through the Staffing Allocation Model (SAM). This is a robust process run by each airport representative (Scheduling Operations Officers, which utilizes:

- Official Airline Guide Flight Data representing airport specific flight activity
- Airport specific facility layout and equipment configuration details
- Input of Program Offices and Risk Analysis
- A discrete event simulation model to project staffing requirements
- An airline industry accepted scheduling application to apply workforce scheduling requirements



Source: GAO analysis of TSA Staffing Allocation Model.

This model is constantly refined to effectively allocate and manage the TSO workforce. Through the SAM process, TSA has been able to identify operational and efficiency gains made possible through better scheduling, increased use of part-time and split shift employees, technology improvements and improved management practices. These gains have led to the expansion of security initiatives, largely accomplished within existing resources, which have significantly strengthened air transportation security. The workforce initiatives include:

Travel Document Checker (TDC) Program - The TDC Program is an added layer of security at all 446 federalized airports, including 16 Screening Partnership Program (SPP) airports, to verify an individual's identity and their travel documents before allowing entry into the security screening checkpoint to access the sterile area or board an aircraft. TDC-qualified TSOs are positioned in front of the checkpoint and use black lights and magnifying loupes to validate boarding passes and authenticate various forms of acceptable photo ID presented by passengers, airport / airline personnel, and law enforcement officers. TDCs also make a visual comparison of the individual with the ID photograph, and ensure the boarding pass presented was issued to that individual, for that day's travel and from the correct airport. Any suspect or questionable ID issues are relayed to the STSO for resolution and to contact the Identity Verification Coordination Center to verify the individual's identity to continue.

Screening of Passengers by Observation Techniques (SPOT) – This essential behavior recognition and analysis program adds an important layer of security in all areas of an airport. It provides a non-intrusive means of identifying potentially high-risk individuals who exhibit behaviors that deviate from an established environmental baseline (indicative of stress, fear and deception), which could possibly reflect intentions of terrorism and/or criminal activity. SPOT looks at involuntary physical and physiological reactions. In FY 2010, SPOT's BDOs were evaluated under the Performance and Accountability Standards System (PASS) program and required to successfully qualify on technical proficiency assessments germane to their screening functions. This included job knowledge tests, practical skills evaluation, and a proficiency checklist. SPOT is in the process of increasing the size of its National Training Team to provide additional standardization visits and training courses to the approximately 161 SPOT airports. A recent study sponsored by the DHS Science & Technology Directorate and conducted by the American Institutes for Research examined the SPOT indicators' effectiveness compared against a strict random protocol was completed and provided to TSA in April 2011. The study confirmed that SPOT was significantly more effective at identifying persons of interest than random. This study is the most significant effort undertaken on the validation of a large scale behavior-based security program to date. TSA is also piloting a BDO assessor program which will enhance the ability to segment and screen passenger populations based on potential risk. During this pilot TSA is using specially trained BDOs in an enhanced role, known as Assessors, focusing on 100 percent passenger interactions and behavior analysis in conjunction with boarding pass and ID review at the entrance to the checkpoint. This involves greater engagement of passengers and review of travel documents. The pilot will provide TSA with a means of real time risk assessment to complement or enhance previous assessments of passenger risk. This additional layer has become even more critical as TSA moves forward on rolling out Risk Based Security (RBS).

Visible Intermodal Prevention and Response (VIPR) teams – These teams may consist of TSOs, BDOs, Transportation Security Inspectors, TSS-Es and Federal Air Marshals. Their duty is to screen passengers, look for suspicious behavior and act as a visible deterrent in multiple transportation sectors, including general aviation, buses, and mass-transit. New technology, including the use of mobile radiological screening equipment, has expanded the reach and capability of TSA's VIPR teams.

Playbook – The objective of Playbook is to establish uniform procedures and standards for TSOs to screen individuals, their accessible property, vehicles upon entering a direct access point screening location, and conduct visual inspections of aircraft.



Playbook is designed as a comprehensive, flexible deployment system of countermeasures that are coordinated at the local airport level in order to respond quickly to emergency conditions or hostile acts. It's supported through local decision-making between the Airport Operator and the Federal Security Director (FSD). Playbook involves working collaboratively with stakeholders and coordinating the assets of TSA, local law enforcement, and other DHS agencies to improve an airport's overall security posture.

Performance Accountability and Standards System (PASS) – TSA's innovative pay-for-performance system has been rewarding high performing TSOs for over six years. The objective rating system has been refined and the system overall has become more successful as employees become familiar with expectations and scoring techniques. PASS grants TSOs the opportunity to earn a pay raise every year, in addition to the federal cost of living adjustment, if applicable. PASS serves as an effective motivator for the workforce and represents the cutting edge of government pay-for-performance systems.

The Aviation Screening Assessment Program (ASAP) – This program measures TSO screening performance using realistic and standardized assessment scenarios. The primary purpose of ASAP is to provide statistical data to determine reasons for failure within the checkpoint and checked baggage screening process. ASAP test results provide critical data to TSA leadership that helps with the improvement of aviation security and the identification of vulnerabilities across screening operations. There are two, six-month test cycles per year with the number of assessments required per cycle based on the factors to be evaluated.

### **Career Progression Program**

TSA continues its focus on career progression for TSOs. As the TSA mission has evolved, TSA created higher-level positions for TSOs, such as BDOs and TSS-Es. TSA's adoption of RBS will further evolve the skill sets of TSOs.

TSA provides career-advancement tools and resources in its online system called Security Officer Advancement Resources. These resources include a career toolbox, training opportunities, and detailed overviews of what makes a TSO competitive for positions within TSA and across DHS. TSA supplements this service with career coaching and the Career Resident Program. The Career Resident Program is an entry level, full time, career development program designed to capitalize on the technical expertise and agency knowledge resident in the field and to create a mechanism for TSOs and field personnel selection for career opportunities other than the current TSO/LTSO/STSO career path. In addition, TSA has partnered with community colleges to provide TSOs and uniformed officers the opportunity to work toward a TSA Homeland Security Certificate and/or an associates' degree in Homeland Security or related field.

The career progression structure allows TSA to distinguish and retain the more experienced and top performing TSOs. Test results show a positive correlation between longevity and performance, including detection ability, screening efficiency, and customer service. As threats evolve and increase in complexity, the advanced skills of the TSA workforce are necessary to stay ahead of terrorist capabilities.

In 2011, TSA continued to achieve near record low attrition rates, continuing the progression to a more experienced workforce. The chart below indicates the historical trend of decreasing attrition rates.

**Historical Attrition Rates:**

Attrition Type	Work Schedule	FY05	FY06	FY07	FY08	FY09	FY10	FY11
Voluntary	Full-Time ONLY	13.4%	12.6%	11.6%	10.8%	5.3%	4.2%	4.5%
Voluntary	Part-Time ONLY	44.1%	38.6%	37.4%	31.8%	15.5%	12.9%	15.1%
Voluntary	TOTAL	17.4%	16.5%	17.4%	15.8%	7.7%	6.2%	7.2%

**Workers' Compensation**

TSA continues to aggressively reduce U.S. Department of Labor Office of Workers' Compensation Program costs through strategies of prevention, education, case management, and nurse intervention. TSA field operations are required to develop a local safety program targeted at inspections, hazard recognition and analysis, hazard abatement, and injury documentation. TSA's Office of Occupational Safety, Health and Environment (OSHE) provides field support to the Nation's airports to develop their safety programs. OSHE provides, through the Online Learning Center, 11 safety courses aimed at injury prevention. The national nurse case management program has successfully assisted TSOs in returning to employment in a shorter time. The Periodic Roll Initiative, established in April 2007 is a joint effort with the Nurse Case Management team where all of the long-term disability (Periodic Roll) cases are examined for opportunities to return employees to work when medically feasible.

The President's Safety, Health, and Return to Employment Initiative requires Federal agencies to reduce the Total Case Rate and Lost Time Case Rate by three percent each fiscal year. As noted in the chart below, TSA has exceeded its goal of reducing the number of TSO injuries and illnesses, and in FY 2013, TSA will seek to continue the trend of reducing numbers of TSO injuries and illnesses. In addition, TSA's Workers' Compensation has decreased by over \$15 million from FY 2006 to FY 2011.

**TSO Injury Rate**

	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	Percent Change FY 2005 - FY 2011
<b>Total Case Rate (TCR)</b>	22.89	36.27	29.06	16.46	13.93	10.15	7.55	7.16	5.50	-81.07%
<b>Lost Time Case Rate (LTCR)</b>	--	--	12.89	8.94	7.19	5.14	3.53	3.37	2.76	-78.59%

**Collective Bargaining**

Following the Federal Labor Relations Authority (FLRA)'s decision that directed a union election among TSOs, on February 4, 2011, TSA issued a Determination permitting Transportation Security Officers to vote on whether they want representation for limited collective bargaining on non-security employment issues. The FLRA conducted both an initial election and a runoff election at TSA during

FY 2011. In June 2011, The American Federation of Government Employees (AFGE) was certified by the FLRA as the exclusive representative of the bargaining unit resulting in the transition to the collective bargaining environment and full implementation of the Administrator’s Determination. Bargaining unit employees are full-time and part-time non-supervisory personnel performing screening functions (TSOs and LTSOs, Master and Expert TSOs, including BDOs, Security Training Instructors (STIs), and Equipment Maintenance Technicians.)

All aspects of the transition to collective bargaining are governed by the Determination. The Determination states that “TSA will not bargain about security policies or procedures or issues affecting security”. The Determination’s framework for collective bargaining is unique to TSA and protects the resources and flexibility we need to secure the Nation’s transportation systems.

TSA plans to fully implement the Determination including establishment of a Unitary Resolution System. Collective bargaining will commence in FY 2012. Training for TSA leadership and bargaining unit employees will commence and continue throughout FY 2012, and is projected to be completed in FY 2013.

In FY 2013, the Screener PC&B PPA will be reduced by \$756,000 for Enterprise-wide efficiencies, and \$15,000 for management adjustments including efficiencies from workers compensation and/or staffing.

**Management Efficiencies – (\$.771 Million)**  
**(dollars in thousands)**

<b>Item</b>	<b>Sub-Total</b>	<b>Total</b>
Enterprise-Wide Efficiencies		(\$756)
Overtime	(\$756)	
Management Adjustments		(\$15)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screening Training and Other  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Screening Training and Other**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>74</b>	<b>67</b>	<b>228,742</b>
<b>2012 Enacted Budget Authority</b>	<b>48</b>	<b>47</b>	<b>249,796</b>
2013 Adjustments-to-Base	18	17	(24,784)
<b>2013 Current Services</b>	<b>66</b>	<b>64</b>	<b>225,012</b>
<b>2013 Total Requested Budget Authority</b>	<b>66</b>	<b>64</b>	<b>225,012</b>
Total Change 2012 to 2013	18	17	(24,784)

TSA requests \$225.0 million for Screener Training and Other. The adjustments-to-base include: 3 FTP/FTE for Balanced Workforce Strategy Follow-On; an increase from a transfer of 15 FTP/14 FTE and \$948,000 between the Aviation Security appropriation and the Transportation Security Support appropriation; an increase of \$28,000 for pay COLA; a decrease of \$4 million for annualizations associated with FY12 program increases; a decrease of \$8 million to annualize second year costs associated with staffing of initial 1,000 Advanced Imaging Technology equipment; and a decrease of \$13.7 million for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

This activity provides the resources to support new and recurring training requirements for the TSO workforce, as well as other direct costs associated with screening operations.

The following table provides the components of this PPA.  
(dollars in millions)

	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
Transportation Security Officer Training	\$123.5	\$101.2
Screener Consumables, Uniforms, and Other	\$89.4	\$ 87.6
National Deployment Office (NDO)	\$ 24.9	\$ 24.2
Environmental Programs	\$ 12.0	\$ 12.0
<b>Total</b>	<b>\$249.8</b>	<b>\$225.0</b>

**Transportation Security Officer Training: \$101.2 million:** Given the ever changing threats that face the aviation domain, screener training is constantly evolving. TSO training is comprised of a compendium of courses that includes basic training for initial hires, on-the-job training, lead and supervisor technical training, recurrent training, advanced technical skills training, remedial training, and return-to-duty training. All new hires receive a combination of instructor-led, hands-on, and web-based training. Recurrent and specialized training courses are provided by either classroom instruction or the TSA Online Learning Center (OLC).

TSA uses a measurement and evaluation process to ensure training programs meet established objectives and standards. Training effectiveness is assessed using a four-level model measuring trainee reaction, learning, behavior, and results. TSA also conducts assessments to ensure a high level of instructional quality is maintained.

Training under this PPA includes:

**New Hire Training Program (NHTP):** The bulk of the security training funding provides for classroom instruction on checkpoint procedures and strategy, to include the tenants of checkpoint evolution as well as on-the-job training and certification required by ATSA. NHTP provides web-based training, 40 hours of instructor-led training and hands-on equipment-specific labs at the home/hub airport. The checked baggage screening procedures module includes on-screen-resolution protocol training for all new hires depending upon the equipment in place at their duty location. TSA develops and delivers training in support of emerging technologies, such as Advanced Imaging Technology (AIT) for persons and Advanced X-Ray Technology (AT), into the mainstream passenger screening process. In FY 2013, TSA will redesign the new hire training course to incorporate changes warranted through training task analysis completed in 2012.

<b>Metric</b>	<b>Min. Hrs</b>	<b>Evaluation Components</b>
<b>Checkpoint TSO-one ETD</b>		
Phase I Web-based Training	8.00	Job Knowledge Checks
Phase II Instructor-led Training	47.50	Job Knowledge Tests/Practical Demonstrations/Image Interpretation Tests
Phase III On-the-Job Training	75.00	Image Mastery Test
<b>Total Hours</b>	<b>130.50</b>	<b>Certified Checkpoint TSO</b>
<b>Checked Baggage EDS/OSARP <sup>1/</sup></b>		
Phase I Instructor-led Training	59.50	Job Knowledge Tests and Practical Demonstrations
Phase II On-the-Job Training	83.00	Practical Demonstration Test Image Test-Operator Qualification test
<b>Total Hours</b>	<b>142.50</b>	<b>Certified Checked Baggage EDS/OSARP TSO</b>
<b>Dual Function Officer (DFO) ETD only</b>		

Phase I Web-based Training	8.00	Job Knowledge Checks
Phase II Instructor-led Training	63.50	Job Knowledge Tests/Practical Demonstrations/Image Interpretation Tests
Phase III On-the-Job Training	110.00	Image Mastery Test Practical Demonstration Test
<b>Total Hours</b>	<b>181.50</b>	<b>Certified DFO TSO</b>
<b>Dual Function Officer (DFO) with EDS/OSARP Certification</b>		
Phase I Web-based Training	8.00	Job Knowledge Checks
Phase II Instructor-led Training	86.00	Job Knowledge Tests/Job Knowledge Practical Demonstrations/Image Interpretation Tests
Phase III On-the-Job Training	128.00	Operator Qualification Test/Checked Baggage Practical Demonstration TEST/Image Mastery Test
<b>Total Hours</b>	<b>222.00</b>	

<sup>1/</sup> OSARP = On-Screen Alarm Resolution Protocol

- **Recurrent Training:** All TSOs are required to undergo recurrent security training to ensure they maintain proficiency of skills learned during basic training. Additionally, the recurrent courses are designed to keep the workforce up-to-date with procedural changes; new technologies introduced into the screening operations, such as AIT; equipment used by the TSOs in the performance of their duties; and new threat items. This training is planned and communicated through an annual National Training Plan (NTP). In FY 2013, TSA plans to design and develop interactive computer based recurrent training for key security specialty positions and activities to include Transportation Security Managers (TSMs), STIs, STSOs/LTSOs, and BDOs.
- **Supervisor Technical Training Course:** The technical and leadership competence of Supervisory Transportation Security Officers (STSOs) and Lead TSOs (LTSOs) is a critical component of workforce effectiveness and retention. TSA developed and deployed a course to establish a basic understanding of the technical and general supervisory responsibilities of the STSOs and LTSOs to provide tools needed to successfully manage the daily responsibilities and challenges faced at the checkpoint and/or checked baggage screening locations. TSA conducts additional courses to provide ongoing skills enhancement and technical expertise training to their STSOs and LTSOs at their home airports.
- **Leadership Training:** This training supports the requirements of 5 CFR 412.202 Systematic Training and Development of Supervisors, Manager, and Executives. Leadership training programs have been developed and are deployed for different levels of TSOs. All leadership

training programs cover topic areas such as communications skills, managing employee performance, coaching and mentoring, and team building. Examples of such programs are:

- The Real Time Leadership Skills program - a new course of study designed for approximately 8,000 team leads that include LTSOs, Expert BDOs, and STIs.
- Foundations of Leadership program - basic leadership training for the 5,000 STSOs.

Additional initiatives are underway to provide additional training in basic employee relations, supervisory responsibilities in managing safety, and diversity training.

- **Expanding Skills and Critical Thinking Training:** This strategy focuses on the interaction and communication between TSA's workforce and the public. Every TSO working at the checkpoint receives training that consolidates the latest methods for all prohibited items, including explosives detection, as well as the human factors that can affect security. This training will help TSOs become more analytical and less "check-list oriented." In FY 2011, TSA designed, and is in the process of delivering, the next phase of developmental training that will continue to build upon the principles of critical thinking and effective communications.
- **Travel Document Checker (TDC) Training:** This curriculum provides training for all TSOs and other TSA personnel assigned to conduct checks of travel documents and verify identification for individuals seeking access through a screening checkpoint. The curriculum includes training on Standard Operating Procedures, detecting fraudulent documents, utilizing document checking technology, and recognizing acceptable forms of identification. The training will continue to be updated as needed.
- **Transportation Security Managers (TSM) Technical Training Course:** The technical and leadership competence of TSMs is critical to TSA objectives that serve to protect the traveling public by preventing and/or deterring any deadly or dangerous objects from being transported onto aircraft. TSA developed and is deploying a course to strengthen TSMs' technical and managerial skills and provide tools needed to successfully manage the daily operations. This training will help prepare TSMs effectively respond to and assess the potential impact of all unresolved issues at the checkpoint and in checked baggage screening locations.
- **Behavior Detection Officer (BDO) Training:** This curriculum provides training in behavior observation and analysis at the checkpoint for the purpose of identifying passengers exhibiting behaviors indicative of hostile intent. This program, known as Screening Passengers by Observation Techniques, is performed by BDOs at all major airports. The curriculum for this program will continue to be upgraded and updated annually to include additional techniques and/or information related to the field of behavior detection.
- **Transportation Security Specialist-Explosives (TSS-E) Training:** The TSS-Es (formally BAOs) in all major airports require specialized security training. These in-house explosives experts provide rapid response for advanced resolution of alarms and also provide on-site familiarization training to TSOs to help them identify potential Improvised Explosive Devices (IED) and IED components.

- **Security Training Instructor (STI)**: This training supports the permanent TSA in-house instructor certification program. TSA provides annual skills enhancement training to the STI workforce to ensure they are able to effectively deliver technical training. The STIs perform instructional duties 80 percent of their time and perform security screening duties the remaining 20 percent of their time to ensure they maintain proficiency in the screening activities they instruct.
- **Training Aids/Training Tools**: Due to the ever-changing threat from terrorism and the terrorist adaptation to security and screening procedures, TSA is constantly developing and updating training and training aids. As new threats emerge, some of the existing training, and the training aids and tool sets have to be quickly upgraded. TSA employs a variety of automated training and testing tools to enhance TSO skills, including simulated computer based image interpretation practice sessions, and simulated weapons and IED kits. TSA also develops “Threat in the Spotlight” training documents for TSOs and their supervisors, which describes and shows actual pictures and x-ray images of threats found by TSOs at airports or from other intelligence resources.
- **Emerging Technology Training**: This training supports the operational evaluation and deployment of emerging screening technologies for passenger, carry-on, and checked baggage. TSA designs and develops training to be conducted during operational tests and evaluations of emerging technologies and develops and delivers training for emerging technologies that have been determined to be operationally effective and efficient to ensure TSOs are knowledgeable, skilled, and prepared to operate all technologies. For example, TSA designed, developed, and delivered training courses/materials to support new technology deployments. This included AIT [with and without Automated Target Recognition (ATR) upgrades], reduced-size EDS for use at checkpoints, bottled liquids scanners, credential authentication technology and checkpoint AT X-ray.
- **Training Evaluation**: TSA uses a measurement and evaluation process to ensure that training programs meet established objectives and standards. TSA training effectiveness is assessed using three levels of measuring trainee reaction, learning, behavior, and results. TSA also conducts assessments to ensure that a high level of instructional quality is maintained.
  - Level 1 Evaluation (trainee reaction): Completed at the end of every training program. All Level 1 evaluation data is scanned into a central database, and results are reviewed to determine if course content or delivery should be modified.
  - Level 2 Evaluation (learning): Fulfilled via a test or demonstration at the completion of a training program. The OLC is the repository for these results. Scores achieved indicate level of learning achieved.
  - Level 3 Evaluation (transfer/behavior): Level 3 evaluation is completed for the Basic Screener Training Course, which collects data through surveys. Analysis of the reports for this effort helps to determine if training is achieving its specific target. A Level 3 evaluation is conducted after the training participant has had at least 6 months on-the-job for the position for which he or she was trained. The Level 3 includes an inquiry



sent to participants and their supervisors. Additional Level 3 evaluations are conducted as determined appropriate.

As TSA continues to explore alternatives to its current training programs, TSA anticipates finding ways to offer more effective training at the same cost.

### **Associates Program:**

In FY 2010, TSA piloted an Associates Program at selected CAT X and I airports and more than 3,000 TSOs participated. The Associates Program provides additional skills to the workforce and provides cutting-edge professional training and development that is critical for TSOs to fully accomplish the TSA mission and fulfill its vision. It also provides for career development and supports overall retention efforts. In FY 2012, this program will roll out to the entire TSO workforce, primarily through long distance learning, to CAT II, III, and IV airports. The Program offers three core courses as follows:

- Introduction to Homeland Security: TSOs explore the state, national, and international laws impacting homeland security, including an examination of the most critical threats confronting homeland security.
- Intelligence and Analysis and Security Management: TSOs explore intelligence analysis and its indispensable relationship to the security management of terrorist attacks, man-made disasters and natural disasters.
- Transportation and Border Security: TSOs explore an in-depth view of modern border and transportation security. Specific topics include security for aircraft, trains, trucks, seaports, ships, pipelines, buses, etc.

### **Performance Reviews:**

All TSOs, LTSOs, STIs, BDOs and STSOs must participate in an Annual Proficiency Review to ensure that they meet all of the qualifications and performance standards required to perform their duties as required by ATSA. TSOs will continue to be certified annually based on overall performance as defined by the PASS. In 2011, PASS Technical Proficiency testing focused on image recognition, proper screening techniques, and the ability to identify, detect, and locate prohibited items. Technical proficiency is measured in the following ways:

- Measuring Image Proficiency – One image assessment per year administered using the X-ray simulation;
- Measuring Practical Skills – A series of Practical Skills Evaluations, including the detection of prohibited items, of all TSOs every year; and
- Measuring On-Screen Alarm Resolution Protocol (OSARP) Proficiency – One OSARP assessment per year administered using the Employee Assessment Management System software.

More than 40,000 TSOs were successfully recertified using an end-to-end paperless evaluation and reporting system. The evaluation criteria has been restructured into a more focused results-based measure centered on a TSOs ability to find prohibited/threat items. TSA also created more realistic object recognition assessments to accommodate the evolving technology deployed at airports.

**Screener Consumables, Uniforms, and Other: \$87.6 million:** Consumable supplies are critical materials used by TSOs to ensure effective screening of passengers, carry-on, and checked baggage. These consumable supplies include disposable gloves, sample swabs/wands, reactant materials, label seals to identify bags inspected by TSOs, and baggage inserts, which both notify passengers that their bag has been inspected and provide contact information in the event of a problem. In addition, TSA provides uniforms to new hires, as well as provides replacement uniforms to all TSOs through the annual allowance program. Costs of uniforms have increased in 2013 under current law. In response to this, TSA has realigned funds and increased the uniform allowance from \$200 to \$225.

**National Deployment Office (NDO): \$24.2 million:** The NDO provides additional TSOs, BDOs and other operations personnel to FSDs for screening support during crisis response and recovery operations, seasonal demands, special security events, risk mitigation or other activities that require higher-than-normal security related staffing levels, while protecting the Nation’s transportation system. Each request for NDO support is analyzed from a cost/benefit/risk perspective to ensure the optimal use of these limited security personnel resources. For various types of disaster response operations, the NDO is responsible for deploying 14 Transportation Security Advance Teams, which include 200 personnel, and 41 Transportation Security Support Teams, which include 895 personnel.

**Environmental Program: \$12.0 million:** This program provides for the disposition of hazardous materials and abandoned personal property collected by TSA at checkpoints, as well as the maintenance of the environmental management system. TSA has an extensive and complex program to safely and securely identify, sort, store, and protect assets; as well as to remove and dispose of hazardous and voluntarily abandoned property. TSA’s national hazardous materials disposal program protects the traveling public from exposure to hazardous materials and complies with Federal, State, and local environmental regulations and laws.

In FY 2013, the Screener Training & Other PPA will be reduced by \$13.7 million due to efficiencies from Administrative/Professional Support contracts and other expenses, and from the purchase of consumables and supplies.

**Management Efficiencies – (\$13.692 million)  
(dollars in thousands)**

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$4,622)
General TDY	(\$1,912)	
Conferences	(\$1,379)	
OFPP Directed Purchasing Savings	(\$1,331)	
Admin/Professional Support Contract Efficiencies		(\$140)
Management Adjustments		(\$8,930)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Checkpoint Support  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Checkpoint Support**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>74</b>	<b>54</b>	<b>240,332</b>
<b>2012 Enacted Budget Authority</b>	<b>54</b>	<b>52</b>	<b>204,768</b>
2013 Adjustments-to-Base	7	7	(53,483)
<b>2013 Current Services</b>	<b>61</b>	<b>59</b>	<b>151,285</b>
2013 Program Change	-	-	(31,046)
<b>2013 Total Requested Budget Authority</b>	<b>61</b>	<b>59</b>	<b>120,239</b>
Total Change 2012 to 2013	7	7	(84,529)

TSA requests \$120.2 million for Checkpoint Support. The adjustments-to-base include: a decrease of \$39.4 million for funds provided in FY 2012 for additional Advanced Imaging Technology; an increase of 4 FTP/4 FTE for DHS Balanced Workforce Strategy Follow-On; an increase of 3 FTP/3 FTE for realignments; a decrease of \$186,000 for transfers from the Aviation Security appropriation to the Transportation Security Support appropriation; an increase of \$35,000 for pay COLA; a decrease of \$13.9 million for management efficiencies. The program change includes a decrease of \$31.0 million.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components of the PPA's Current Services:

(dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Checkpoint Technology	\$190.4	\$105.8
Advanced Surveillance Program	6.0	5.0
Payroll	8.4	9.4
<b>Total</b>	<b>\$204.8</b>	<b>\$120.2</b>

The checkpoint support program provides the resources required to test, evaluate, integrate, and deploy passenger screening and carry-on baggage screening capabilities. This involves technologies, training, checkpoint reconfigurations, closed circuit television (CCTV) surveillance equipment, and the

operational integration of systems at over 2,300 passenger checkpoint lanes in our Nation's airports. TSA developed a strategic plan to enhance screening through improved checkpoint technology that will refine passenger security for aviation. This initiative extends beyond the airport checkpoint and considers the end-to-end passenger experience to improve security and increase efficiency. The focus is on a layered security and risk-based screening approach including improved explosives detection and enhanced hostile intent detection.

Current technologies that have been deployed include Enhanced Walk-through Metal Detectors (WTMD) that screen persons for metallic weapons such as guns or knives; Explosives Trace Detection (ETD) units which are used to test for explosive residue on selected carry-on items that allow for increased security and an added layer of random screening within the sterile area; Bottled Liquids Scanners (BLS) which screen bottles to determine if they contain explosives or benign liquids; Chemical Analysis Devices (CAD) which are small devices used to identify suspect substances; Advanced Technology (AT-2) systems which are X-ray systems with advanced visual detection capabilities that use multi-view capabilities or automated explosives detection capabilities; Advanced Imaging Technology (AIT) consisting of millimeter wave and backscatter X-ray units; Automated Wait Times (AWT) systems calculate wait times for the lines that form in front of checkpoints; and Credential Authentication Technology/Boarding Pass Scanning System (CAT/BPSS) digitally validates the ID and boarding pass used by the traveling public.

AIT millimeter wave technology uses non-ionizing radio frequency energy in the millimeter wave spectrum to generate a three-dimensional computer image of the body based on the energy reflected from the body. AIT backscatter technology uses a narrow, low-intensity X-ray beam scanned over the surface of the body at a high speed that is converted into a computer image of the body.

In FY 2011 and FY 2012, TSA is installing new software on TSA's millimeter wave AIT machines, making upgrades designed to enhance privacy by eliminating passenger-specific images. TSA worked with the DHS S&T and private industry to develop the new software. This software, also referred to as Automated Target Recognition (ATR), auto-detects items that could pose a potential threat using a generic outline of a person for all passengers. By eliminating the image of an actual passenger and replacing it with a generic outline of a person, passengers are able to view the same outline that the TSO sees. Further, a separate TSO will no longer be required to view the image in a remotely located viewing room. In addition to further enhancing privacy protections, this new software will increase the efficiency of the screening process and expand the throughput capability of AIT. In February 2011, TSA successfully tested the new software at Hartsfield-Jackson Atlanta International, Las Vegas McCarran International and Ronald Reagan Washington National airports. ATR will be included on all future AIT procurements.

**Checkpoint Technology: \$105.8 million:** This request includes funding to test, procure, and deploy improved technology systems to further extend explosives and prohibited item detection coverage at aviation checkpoints. It includes funding to test, purchase, and install new screening equipment and update existing equipment with such enhancements as AT-2 tier upgrades. Funds will also be used for program, engineering, technical support and travel, original equipment manufacturer training, warehousing, consumables, and refurbishing equipment, to provide functionality and performance enhancements, as well as for life-cycle replacements for units reaching the end of their useful life.

TSA analyzes the integration of new and modified systems and concepts of operation to ensure operational effectiveness and suitability prior to full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment under the proposed concept of operations, in the field under a variety of environmental conditions. In particular, this includes:

- Operational Test and Evaluation (OT&E) in support of regulatory and policy decisions;
- OT&E as part of the acquisition process for items procured by TSA, including Early Utility Assessments, Initial OT&E, and follow-on OT&E over the project lifecycle;
- Pilots, concept demonstrations, and field experimentation in support of mission area analyses, concept of operations development, process optimization and improvement, and workforce / vector characterizations; and
- T&E capabilities development to improve the quality and utility of evaluation products.

The following chart depicts TSA’s checkpoint equipment purchase status relative to the Full Operational Capability (FOC):

Technology	FOC	Planned Purchases with Prior Year Funds	After Prior Years Purchases	Planned Purchases with FY 2012 Funds	After FY 2012 Purchases	Planned Purchases with FY 2013 Funds	After FY 2013 Purchases	PLANNED PURCHASES TOTAL
Advanced Imaging Technology <sup>1/</sup>	1,800	1,000	56%	250	69%	0	69%	<b>1,250</b>
NextGen Explosives Trace Detector	1,500	865	58%	100	64%	50	68%	<b>1,015</b>
Portable Explosives Trace Detector	811	811	100%	0	100%	0	100%	<b>811</b>
Advanced Technology	2,325	1847	79%	50	82%	150	88%	<b>2,047</b>
Credential Authentication Technology <sup>2/</sup>	1,400	830	59%	570	100%	0	100%	<b>1,400</b>
Automated Wait Times	470	470	100%	0	100%	0	100%	<b>470</b>
Bottled Liquids Scanner <sup>3/</sup>	1,690	1,300	77%	0	77%	75	81%	<b>1,375</b>
Chemical Analysis Device	255	255	100%	0	100%	0	100%	<b>255</b>
Shoe Scanning Device <sup>4/</sup>	0	0	0%	0	0%	0	0%	<b>0</b>

1/ FOC for AIT may change based on TSA's Risk Based Security initiatives, potential reductions in processing times, and qualification of new and innovative AIT solutions.

2/ FOC for CAT was adjusted from 2,325 to 1,400 as a result of changes to the Concept of Operations and allocation model.

3/ FOC for BLS has been increased from 1,300 to 1,690 to better align with TSA's lane distribution strategy.

4/ The solicitation for SSD technologies did not result in any viable systems that met TSA's current needs due to both limited technical maturity and operational feasibility.

### Checkpoint Technology Average Costs per Unit

Technology	Average Costs
Advanced Imaging Technology	\$175,000 (Est)
NextGen Explosives Trace Detector	\$45,000
Portable Explosives Trace Detector	\$48,000 (Est)
Advanced Technology	\$135,000
Credential Authentication Technology	\$25,000 (Est)
Automated Wait Times	\$48,000 (Est)
Bottled Liquids Scanner	\$35,000
Chemical Analysis Device	\$50,000

**Advanced Surveillance Program: \$5.0 million:** The Advanced Surveillance Program (ASP) provides additional security capabilities as part of TSA’s layered approach. This is accomplished by partnering with transportation authorities to expand their existing surveillance systems. The result is the Federal Government gains the ability to observe and detect people and property moving through the security screening process and facilities. Advanced surveillance systems have proven to be a key component in the “best practices” of the security industry world-wide. They provide threat identification, situational awareness, deterrence, loss prevention, investigative and legal activities along with standard management functions within the checkpoint areas to include exit lanes, sterile areas, and queue lanes. ASP promotes a cooperative partnership and sharing of information between Federal and local authorities and provides invaluable coordination for command and control for first responders in the event of an incident or threat. Additional funding is requested in the EDS Procurement and Installation PPA to support ASP in baggage handling areas.

	Projects Completed with Prior Year Funds	Projects to be Completed with FY 2013 Funds
Advanced Surveillance Program Projects	73	2

**Payroll: \$9.4 million:** The request provides funding to support 61 full time positions to support TSA’s Passenger Screening Program activities. These personnel consist of experienced technical and scientific professionals, such as engineers, logistics specialists, and health physicists, who are able to work closely with airports, vendors, and domestic and international transportation security partners in order to carry out the mission.

In FY 2013, the Checkpoint Support PPA will be reduced by \$13.9 million due to efficiencies from Administrative/Professional Support contracts and other expenses, and savings from the purchase of supplies and materials, as well as efficiencies in the operation of equipment.

**Management Efficiencies – (\$13.957 Million)**  
(dollars in thousands)

<b><u>Item</u></b>	<b><u>Sub-Total</u></b>	<b><u>Total</u></b>
Enterprise-Wide Efficiencies		(\$ 9,778)
General TDY	(\$ 65)	
Conferences	(\$ 13)	
OFPP Directed Purchasing Savings	(\$ 9,700)	
Admin/Professional Support Contract Efficiencies		(\$ 1,019)
Management Adjustments		(\$ 3,160)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
EDS Procurement and Installation  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: EDS Procurement and Installation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>136</b>	<b>119</b>	<b>595,651</b>
<b>2012 Enacted Budget Authority</b>	<b>120</b>	<b>114</b>	<b>222,738</b>
2013 Adjustments-to-Base	2	2	(17,574)
<b>2013 Current Services</b>	<b>122</b>	<b>116</b>	<b>205,164</b>
2013 Program Change	-	-	(87,815)
<b>2013 Total Requested Budget Authority</b>	<b>122</b>	<b>116</b>	<b>117,349</b>
Total Change 2012 to 2013	2	2	(105,389)

TSA requests \$117.3 million for EDS Procurement and Installation. The adjustments-to-base include: 2 FTP/ 2 FTE for DHS Balanced Workforce Strategy Follow-On; a decrease of \$14,000 for transfers from the Aviation Security appropriation to the Transportation Security Support appropriation; an increase of \$70,000 for pay COLA; a decrease of \$17.6 million for management efficiencies. The program change includes a decrease of \$87.8 million.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components of the PPA's Current Services:

(dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Purchase of Checked Baggage Equipment	\$200.6	\$183.9
Installation	248.6	160.6
Advanced Surveillance Program (ASP)	5.0	4.0
Payroll	18.5	18.8
<b>Total <sup>1/</sup></b>	<b>\$472.7</b>	<b>\$367.3</b>

<sup>1/</sup> Includes mandatory funding of \$250 million from the Aviation Security Capital Fund

The FY 2013 request will be used to test, evaluate, procure, and deploy electronic baggage screening technology systems. TSA's Electronic Baggage Screen Program (EBSP) is responsible for ensuring



that 100 percent of all checked baggage is screened with Explosives Detection Systems (EDS) or a suitable alternative. The two primary technologies acquired and deployed include EDS equipment and Explosives Trace Detection (ETD) devices. TSA’s activities related to purchasing and installing EDS and ETD systems consist of some or all of the following, depending on the equipment and specific location: 1) operational testing and evaluation (OT&E), 2) equipment purchase, 3) site survey and design, 4) site preparation, 5) facility modification, 6) warehousing and shipping, 7) equipment installation, integration, and multiplexing, 8) independent verification and validation testing, and 9) program support.

In 2006, TSA developed a Strategic Plan for achieving risk-based, optimal screening solutions. Implementation of these optimal solutions has resulted in decreased life cycle costs for the EBSP. TSA’s progress towards completing airports of highest priority as identified in TSA’s risk-based EBSP Integrated Deployment Model is shown below.

***Program progress relative to EDS/ETD deployment and facility modifications***

*Projections through FY 2013\**

	Total Number of TSA Airports**	Entire Airport Completed	Some Screening Areas with Completed Systems	Total Number of Airports with Some Completed Systems	Percentage of Airports with Some Completed Systems
CAT X	28	15	12	27	96%
CAT I	57	38	7	45	79%
CAT II	77	61	10	71	92%
CAT III	125	102	1	103	82%
Total	287	216	30	246	86%

\* As of August 31, 2011, and subject to change based on enacted funding levels.

\* Projects planned to be completed with FY 2009, American Recovery and Reinvestment Act (ARRA), and FY 2010-FY 2013 funds. FY 2012 and FY 2013 funding levels are based on the FY 2012 - FY 2016 Capital Investment Plan for the EBSP. This forecast will be impacted by new planning criteria included in the Recapitalization and Optimization Plan.

\* Assumed legislative approval to allow the Aviation Security Capital Fund to be used for procurement and installation of equipment.

\*\*Based on TSA Threat Category listing as of May 2, 2011.

**Prioritization**

TSA historically focused on completing the highest priority systems at Airport Security Threat Category (CAT) X – III airports with risk being a major factor in determining the priorities. As shown in the chart above, considerable progress has been made towards this goal.

As of December 2011, TSA had approximately 2,000 EDS units deployed at airports nationwide. A large portion of the EDS and ETD fleet was deployed in 2002 and 2003 to meet the requirements of the Aviation and Transportation Security Act of 2001 (PL 107-71). As a result, many EDS and ETDs are reaching the end of their useful lives of approximately seven to ten years. In FY 2012, EBSP shifted its planning and programming focus to make recapitalization a priority, looking first at operational performance then at equipment age.

This change in emphasis reduced TSA's need to fund major facility modification projects and increased the funding requirements for the purchase and installation of new equipment to replace the aging fleet. As a result, TSA requested legislative changes to restrictions on the use of funding received from the Aviation Security Capital Fund (ASCF), which previously restricted the use of funds to facility modifications at airports. Upon legislative approval in FY 2012, TSA began using ASCF funds for the procurement and installation of EDS equipment required for its recapitalization effort in addition to facility modifications.

### **Recapitalization and Optimization**

Recapitalization addresses the programmatic and project-specific elements requisite for EDS and ETD life cycle replacement. Recapitalization efforts focus on a like-in-kind replacement of existing equipment with minimal additional modifications. Optimization refers to efforts that also include significant system changes designed to enhance safety and security, improve performance, increase efficiency, reduce operating costs, and address personnel considerations associated with in-line EDS.

To address the significant need to recapitalize the existing EDS and ETD fleet, TSA has developed a formal recapitalization plan. The recapitalization plan:

- Identifies and defines the processes needed for implementing a successful recapitalization and optimization effort;
- Defines information needs and sources to support the plan, and technical decisions for prioritization, scheduling, resource planning, and execution;
- Ensures process consistency across all projects; and
- Defines and prioritizes a list of eligible recapitalization and optimization projects.

### **Technology**

EDS equipment can exist in two configurations: stand alone or in-line. In-line configurations integrate the EDS equipment into the baggage handling system. TSA benefits from operational improvements associated with this type of automation. For instance, working conditions for Transportation Security Officers (TSOs) can improve with in-line systems. Alarms can be resolved in quieter, dedicated spaces that are properly designed for the alarm resolution function.

Continuous improvements are required to enhance threat detection, increase equipment reliability, reduce downtime, extend service life, and eliminate TSO safety hazards in order for TSA to substantially improve the effectiveness and efficiency of the deployed screening equipment.

In FY 2010, TSA began a competitive procurement effort for EDS that involves rigorous processes for establishing requirements, testing the products, evaluating the tests, and weighing the value of available options to determine which combination of factors provide the best solution. TSA will use the competitive procurement effort as the primary tool for driving the technological changes necessary to achieve improved security and increased performance at a lower life cycle cost. TSA has established procurement windows during which vendors can submit proposals associated with one or more of the following EDS technologies:

- High-speed (HSEDS): Throughput > 900 bags per hour (bph)
- Medium-speed (MSEDS): 400 < Throughput ≤ 900 bph
- Reduced-size (RSEDS): 100 < Throughput ≤ 400 bph

ETDs are used both as primary and secondary screening methods (i.e., resolving EDS alarms). ETDs are the second largest component of equipment cost within the EBSP program. ETDs are designed to detect explosives residue left on an item.

**Purchase of Checked Baggage Equipment: \$183.9 million:** The FY 2013 request includes funding to support the purchase of 155 EDS for deployment in our Nation’s airports. The procurement will consist of RSEDS, MSEDS, and HSEDS. Purchases in FY 2013 are planned to support projects where facility modifications will be completed from prior year funded projects and to purchase units to replace aging equipment in the field. TSA will continue implementation of its competitive procurement strategy and initiate data collection activities for more stringent detection requirements. Efforts will continue toward reducing purchase costs through competitive procurements in addition to the implementation of contracts for EDS and ancillary equipment that incorporate direct shipping to airports instead of warehouses. TSA will also continue to pursue potential equipment upgrades capable of extending the life of existing equipment as part of its effort to contain procurement costs.

The following table provides a breakout of planned technology purchases:

(dollars in millions)

EDS Type	FY 2012		FY 2013 Budgeted	
	Planned Purchases	Projected Costs	Planned Purchases	Projected Costs
Reduced-Size	90	\$45.0	29	\$14.5
Medium Speed	124	155.6	112	134.4
High Speed	0	0	14	35.0
<b>Total</b>	<b>214</b>	<b>\$200.6</b>	<b>155</b>	<b>\$183.9</b>

**Installation: \$160.6 million:** The FY 2013 request includes funding for installation. Installation funding supports the multi-year Letter of Intent requirement and the installation of electronic baggage screening equipment in the Nation’s airports. In addition to equipment installation, integration, and multiplexing, installation activities include independent verification and validation testing, site survey and design, facility modification, site preparation, warehousing and shipping, OT&E, and program

support. TSA will continue efforts to reduce and avoid program support costs via improvements to data and document management and processing systems.

Installation funding is also used to evaluate the impact of new security technologies, procedures, and policies. TSA analyzes the integration of new and modified systems and concepts of operation to ensure operational effectiveness and suitability prior to full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment under the proposed concept of operations in the field under a variety of environmental conditions. In particular, this includes:

- OT&E as part of the acquisition process for items procured by TSA;
- OT&E in support of regulatory and policy decisions in areas such as air cargo;
- Pilots, concept demonstrations, and field experimentation in support of mission area analyses, concept of operations development and workforce characterization; and
- T&E capabilities development to improve the quality and utility of evaluation products.

**Advanced Surveillance Program (ASP): \$4.0 million:** The ASP provides additional security capabilities as part of TSA’s layered approach. This is accomplished by partnering with transportation authorities to expand their existing surveillance systems. In doing so, the Federal Government gains the ability to observe and detect people and property moving through the security screening process and facilities. Advanced surveillance systems have proven to be a key component in the “best practices” of the security industry world-wide. They provide threat identification, situational awareness, deterrence, loss prevention, investigative and legal activities along with standard management functions within the checked baggage areas. ASP promotes a cooperative partnership and sharing of information between Federal and local authorities and provides invaluable coordination for command and control as well as first responders in the event of an incident or threat. Funding is requested in the Checkpoint Support PPA to support ASP within the checkpoint areas, to include exit lanes, sterile areas, and queue lanes.

ASP will complete two projects in FY 2013, bringing the total number of projects completed to 75.

	Projects Completed with Prior Year Funds	Projects to be Completed with FY 2013 Funds
Advanced Surveillance Program Projects	73	2

**Payroll: \$18.8 million:** The request provides funding for 122 full time positions to support TSA’s Electronic Baggage Screening Program activities. These personnel consist of experienced technical and scientific professionals, such as engineers and logistics specialists, who are able to work closely with airports, vendors, and domestic and international transportation security partners in order to carry out the mission.

In FY 2013, the EDS Procurement/Installation PPA will be reduced by \$17.6 million due to Enterprise-wide Efficiencies, efficiencies from Administrative/Professional Support contracts and other expenses, as well as savings due to efficiencies from the purchase of supplies and materials, and the operation of equipment,.

**Management Efficiencies – (\$17.630 Million)**  
(dollars in thousands)

<u>Item</u>	<u>Sub-Total</u>	<u>Total</u>
Enterprise-Wide Efficiencies		(\$ 11,982)
General TDY	(\$ 69)	
Conferences	(\$ 18)	
OFPP Directed Purchasing Savings	(\$ 11,895)	
Admin/Professional Support Contract Efficiencies		(\$ 1,250)
Management Adjustments		(\$ 4,398)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screening Technology Maintenance  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Screening Technology Maintenance**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>322,555</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>320,365</b>
2013 Adjustments-to-Base	-	-	6,235
<b>2013 Current Services</b>	-	-	<b>326,600</b>
2013 Program Change	-	-	(17,600)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>309,000</b>
Total Change 2012 to 2013	-	-	(11,365)

TSA requests \$309.0 million for Screening Technology Maintenance. The adjustments-to-base include: an increase of \$17.1 million to support screening technologies that are no longer under original manufacturer warranty beginning in FY 2013; a decrease of \$10.8 million for management efficiencies. The program change includes a \$17.6 million decrease for contract efficiencies, as well as the procurement of more efficient screening security equipment.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components of the PPA's Current Services:

(dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Checked Baggage Equipment Maintenance	\$257.3	\$234.8
Checkpoint Equipment Maintenance	59.4	72.2
Disposal	3.6	2.0
<b>Total</b>	<b>\$320.3</b>	<b>\$309.0</b>

Funding in this PPA supports the maintenance and disposal of Transportation Security Equipment (TSE) in the Nation's airports. Maintenance is essential to preserve the operational capability of

security technology equipment. Once warranties expire (normally after 12 - 24 months), all TSA checkpoint and checked baggage screening equipment is under a maintenance contract throughout its life cycle. TSA plans to reduce maintenance costs by obtaining two-year warranties for screening equipment procured in FY 2012 and beyond. Most maintenance is performed by contractor Field Service Technicians working for Original Equipment Manufacturers or a third party Maintenance Service Provider. Preventive maintenance is performed according to the manufacturer's recommended schedule (e.g., monthly, annually, etc). Corrective maintenance support is provided 24 hours a day, 7 days a week, to perform unplanned corrective repairs in the field. Maintenance contracts include labor costs for all preventive and corrective maintenance, as well as material costs for repair parts or consumables (e.g., Explosives Trace Detector swabs).

**Checked Baggage Equipment Maintenance: \$234.8 million:** This request includes funding for preventive and corrective maintenance activities required to maintain the operation of deployed checked baggage screening systems. These costs include labor; repair parts; packaging and transportation of repair parts; initial consumables for ETDs; tools, test equipment and calibration; maintenance training; and related logistics, data management, safety, occupational health, and environmental management functions.

Below is a breakout of projected maintenance costs for checked baggage screening equipment. The FY 2013 requirement represents the maintenance cost for units no longer under warranty, not the unit cost for the total number of fielded units.

Equipment*	FY 2013 Fielded Quantity	Average Number of Units Out of Warranty	Average Number of Units in Warranty	FY 2013 Requirement
<b>EDS</b>				
CTX-5500	272	272	0	\$22,520,719
CTX-9000	269	269	0	\$29,039,337
CTX-9400	142	142	0	\$15,329,316
CTX-9800	93	39	54	\$4,210,164
e6000/6600	724	664	60	\$76,618,553
Reveal CT-80	707	560	147	\$27,580,054
High Speed	11	4	7	\$669,258
King Cobra	5	0	5	\$0
Fusion Dual Use	7	7	0	\$502,797
AN 6980 Dual-Use	17	17	0	\$1,007,393
<b>Subtotal</b>				<b>\$177,477,591</b>

<b>ETD</b>				
400B	1824	1824	0	\$14,220,670
Itemiser-W	823	823	0	\$6,376,604
Next Gen	2153	2153	0	\$22,083,321
Consumables				\$4,080,000
<b>Excepted Maintenance/Call Center/Environment Issues</b>				<b>\$7,679,598</b>
<b>Subtotal</b>				<b>\$54,440,193</b>
<b>Support Services</b>				<b>\$2,931,250</b>
<b>Total Maintenance Requirement</b>				<b>\$234,849,034</b>
<b>Disposal</b>				<b>\$1,000,000</b>

\*The make/model of the equipment is subject to change based on actual acquisitions.

**Checkpoint Equipment Maintenance: \$72.2 million:** This request includes funding for the preventive and corrective maintenance activities required to maintain the operation of deployed passenger screening security equipment. These costs include labor; repair parts; packaging and transportation of repair parts; initial consumables for ETDs; tools, test equipment and calibration; and maintenance training.

Below is a breakout of projected maintenance costs for passenger screening systems. The FY 2013 requirement represents the maintenance cost for units no longer under warranty, not the unit cost for the total number of fielded units.

<b>Equipment*</b>	<b>FY 2013 Fielded Quantity</b>	<b>Average Number of Units Out of Warranty</b>	<b>Average Number of Units in Warranty</b>	<b>FY 2013 Requirement</b>
<b>ETD</b>				
IonScan 400B	440	440	0	\$3,430,425
Itemiser-W	100	100	0	\$774,811
HH ETD (TBD)	811	166	645	\$1,181,885
Itemiser DX	935	780	155	\$6,240,000
Ionscan 500DT	275	120	155	\$960,000
Consumables				\$987,824
<b>EMD</b>				
Ceia	1324	1324	0	\$828,030
Metorex	110	110	0	\$124,280
Garrett	157	157	0	\$185,728



<b>AT Systems</b>				
Smiths	935	780	155	\$17,096,437
Rapiscan	1041	886	155	\$12,638,286
L-3	90	58	32	\$1,050,000
<b>AIT</b>				
L-3	670	365	305	\$7,344,360
Rapiscan	580	335	245	\$5,531,541
<b>Bottled Liquids Scanners (BLS/ILD)</b>				
TBD	1300	1300	0	\$6,829,063
<b>Cast &amp; Prosthesis Imagers</b>				
Spectrum	35	35	0	\$268,945
<b>Standoff Detection</b>				
QinetiQ	22	22	0	\$785,868
<b>Shoe Scanners</b>				
TBD	190	10	180	\$157,594
<b>Chemical Analysis Device</b>				
TBD	255	186	69	\$97,708
<b>Automated Wait Time</b>				
TBD	470	126	344	\$126,000
<b>Subtotal</b>				<b>\$66,638,785</b>
<b>Call Center/Excepted Maintenance/Program Management</b>				<b>\$3,946,681</b>
<b>Support Services</b>				<b>\$1,565,500</b>
<b>Total Checkpoint Maintenance Requirement</b>				<b>\$72,150,966</b>
<b>Disposal</b>				<b>\$1,000,000</b>

\*The make/model of the equipment is subject to change based on actual acquisitions.

**Disposal: \$2.0 million:** This request includes funding for the disposal of equipment. Security equipment is decommissioned when evolving operational requirements (e.g., higher screening throughput), technological advancements (e.g., improved detection capability), or supportability problems (e.g., frequent failures) dictate the need for replacement. Sometimes equipment is redeployed to satisfy screening requirements at other airports, or loaned to partner nations based on requirements from the TSA Office of Global Strategies. Upon request, security equipment that is not redeployed is offered to other DHS and federal agencies, or returned to manufacturers for credit on future procurements. Otherwise, surplus equipment is provided to the Defense Logistics Agency (DLA) Disposition Services for salvage and destruction. This budget includes funding to remove Sensitive Security Information and hazardous material from disposal equipment and for DLA disposal services.

In FY 2013, the Screening Technology Maintenance PPA will be reduced by \$10.8 million due to enterprise-wide efficiencies, savings from Administrative/Professional Support contracts, and savings due to efficiencies from maintenance of equipment and other expenses. The following table provides a further breakout of the efficiencies planned for the PPA:

**Management Efficiencies (\$10.819 Million)**  
(dollars in thousands)

<u>Item</u>	<u>Sub-Total</u>	<u>Total</u>
Enterprise-Wide Efficiencies		(\$ 1,431)
General TDY	(\$ 6)	
Conferences	(\$ 7)	
OFPP Directed Purchasing Savings	(\$ 1,418)	
Admin/Professional Support Contract Efficiencies		(\$ 149)
Management Adjustments		(\$ 9,239)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Operation Integration  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Operation Integration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>29,271</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	-	-	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Transportation Security Administration does not request separate funding for this activity in FY 2013.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Aviation Regulation and Other Enforcement  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Aviation Regulation and Other Enforcement**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,431</b>	<b>1,118</b>	<b>276,228</b>
<b>2012 Enacted Budget Authority</b>	<b>1,726</b>	<b>1,482</b>	<b>369,984</b>
2013 Adjustments-to-Base	6	180	2,005
<b>2013 Current Services</b>	<b>1,732</b>	<b>1,662</b>	<b>371,989</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,732</b>	<b>1,662</b>	<b>371,989</b>
Total Change 2012 to 2013	6	180	2,005

TSA requests \$371.9 million for Aviation Regulation and Other Enforcement. The adjustments-to-base include: an increase of 6 FTP/6 FTE for DHS Balanced Workforce Strategy Follow-On; a decrease of \$10,000 for transfer from Aviation Security appropriation to Transportation Security Support; an increase of \$734,000 for pay COLA; an increase of 174 FTE and \$31.9 million for annualizations associated with FY 2012 program increases for 12 multi-modal Visible Intermodal Prevention and Response (VIPR) Teams, Passenger Screening Canines, and international staff working in support of air cargo security enhancements; and a decrease of \$30.6 million for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Aviation Regulation is responsible for providing law enforcement and regulatory presence at airports to ensure compliance with required security measures and response to security incidents. It also provides an international component to foster consistency in worldwide security requirements.

The following table provides the components of this PPA:

(dollars in millions)

	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
Regulatory Inspection and Enforcement	\$119.5	\$120.7
International Operations	\$ 70.1	\$ 65.8
International Repair Station Inspections	\$ 2.6	\$ 2.6

Airport Law Enforcement & Assessments	\$ 81.4	\$ 70.6
National Explosive Detection Canine Training Program (NEDCTP)	\$ 64.4	\$ 62.1
General and Commercial Aviation	\$ 12.7	\$ 12.7
Visible Intermodal Prevention and Response (VIPR)	\$ 19.2	\$ 37.4
<b>Total</b>	<b>\$369.9</b>	<b>\$371.9</b>

**Regulatory Inspection and Enforcement: \$120.7 million (\$107.3 million domestic and \$13.4 million international):** The mission of the regulatory inspection program is broad and involves the evaluation of the security integrity of more than 450 U.S. airports, 550 foreign airports, and a combined total of over 1,500 domestic and international carriers that operate in the United States. These inspectors also conduct periodic inspections of over 7,500 indirect air carriers operating in the United States.

Over the past few years, TSA’s inspector community has made significant efforts to ensure that various airport inspections are scheduled in a way that balances/maximizes oversight while identifying possible efficiencies in scheduling. Risk scores are used to drive and prioritize inspection activity and take into account various factors, including the latest intelligence information.

The following chart provides historical and current information on the total number of Transportation Security Inspector (TSI) positions. This PPA includes 898 TSI-Aviation Domestic Inspectors, of which 166 are Canine Handlers; 45 TSI-Aviation International Inspectors; and 15 TSI International Repair Station Inspectors

	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<b>Aviation Regulation</b>	<b>915</b>	<b>958</b>	<b>958</b>
Aviation Regulation - Domestic Inspectors	657	657	657
Aviation Regulation - Domestic Canine Inspectors *	123	166	166
Aviation Regulation - Domestic VIPR Inspectors	75	75	75
Aviation Regulation - International Inspectors	45	45	45
Aviation Regulation - International Repair Station Inspectors	15	15	15
<b>Air Cargo</b>	<b>630</b>	<b>630</b>	<b>630</b>
Air Cargo - Domestic Inspectors	500	500	500
Air Cargo - Domestic Canine Inspectors	120	120	120
Air Cargo - International Inspectors	10	10	10
<b>Surface</b>	<b>404</b>	<b>404</b>	<b>404</b>
Surface - Domestic Inspectors	250	250	250
Surface - VIPR Inspectors	154	154	154
<b>Total TSA Inspectors</b>	<b>1,949</b>	<b>1,992</b>	<b>1,992</b>

\* FY12 includes 23 proprietary Federal Air Marshal canine handlers converted into domestic canine inspectors plus 20 additional passenger screening canine teams received as part of P.L. 112-74

Aviation TSIs (TSI-As) have an essential role in executing local annual inspection plans based on the national inspection plan. As part of their inspection responsibilities, TSI-As review records and files pertaining to criminal history records checks performed pursuant to federal law. The inspectors also review records and files to ensure compliance of indirect air carriers; private passenger and/or cargo charters; and airmen and aircrew with security requirements. In addition to inspections, TSI-As also perform testing to determine compliance with transportation security regulations. The TSI-As investigate incidents related to violations of TSA regulations, security directives, and approved security programs. Inspectors deliver technical briefings and provide assistance to the aviation industry in interpreting agency policies to ensure compliance with rules. Inspections are both scheduled and random and may include one or all of the critical security elements required by TSA.

In FY 2011, TSA completed over 1,595 airport inspections, 30,056 aircraft operator inspections and 646 foreign air carrier inspections. To ensure the adequacy and integrity of security at airports, TSIs evaluate the types of fences, lighting, and locks being used, among other important security measures through visual and hands-on inspection. Based on these assessments inspectors will recommend enhancements, where appropriate, for non-regulated airports/facilities, including general aviation landing facilities and airports, and for aircraft operators. Areas of emphasis for inspection and/or assessment include: access control systems, security identification systems, surveillance systems, law enforcement response capabilities, physical security of aviation facilities and aircraft.

Inspectors are given the authority to initiate enforcement actions against airports, air carriers, and indirect air carriers where compliance violations have occurred or corrections have not been made. This includes misconduct of employees that threaten the security of an airport and/or aircraft. In FY 2011, 22 congressionally mandated Joint Vulnerability Assessments at CAT X and CAT I airports were completed in coordination with the Office of Law Enforcement/Federal Air Marshal Service. Inspectors must be well trained and knowledgeable in order to assist the agency Chief Counsel in the preparation of formal enforcement actions against those who violate security requirements.

For FY 2013, the regulatory inspection and enforcement program plans to continue to conduct one comprehensive annual baseline inspection of all airports, aircraft operators, flight schools, repair stations, and foreign air carriers at domestic airports; conduct bi-monthly multi-week airport and flight school strikes, issue quarterly special emphasis inspections that focus on threat, risk, and previous year compliance; and support VIPR, and Playbook activities.

**International Programs (including International Repair Station Inspections): \$68.4 million:**

TSA's Office of Global Strategies (OGS) promotes alignment and consistency between the security requirements of the U.S. and foreign governments and is responsible for all facets of the agency's activities at foreign locations. Its statutory and regulatory responsibilities focus on identifying and mitigating security risks to transportation modes used extensively by U.S. citizens and foreign governments. When a new threat or vulnerability emerges, OGS must coordinate the implementation of appropriate responses to mitigate the likelihood of a successful attack with both foreign governments and industry. TSA takes a leadership role as a permanent U.S. member in the regional and international organizations concerned with transportation security [i.e., International Civil

Aviation Organization (ICAO), the Group of Eight (G8) Transportation Security Subgroup, and the European Civil Aviation Conference (ECAC)].

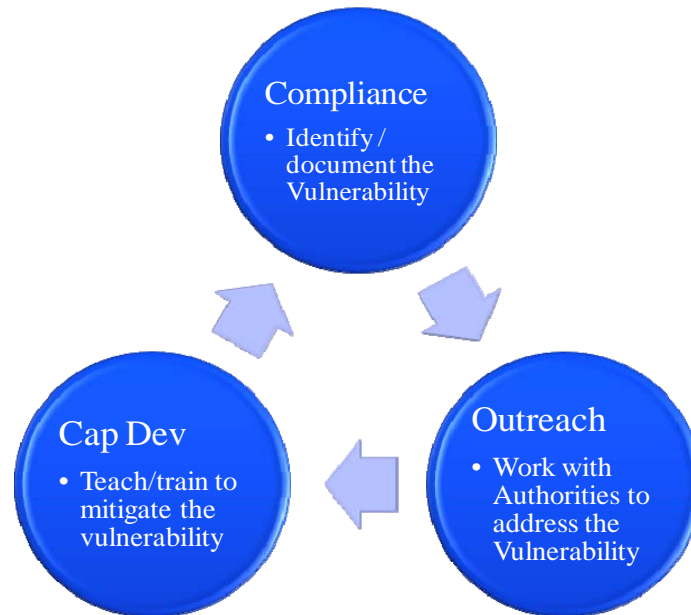
TSA strives to lead worldwide improvements in transportation security using a multi-layered approach, which includes:

- Liaison activity and representation with over 100 foreign governments, on-site liaison activity and representation in 25 foreign countries;
- Evaluation and documentation of vulnerabilities at nearly 300 airports and 900 air carrier stations located in foreign countries around the world;
- Liaison activity and representation with approximately 240 foreign air carriers;
- Active leadership within the regional and international community that comprises the world's transportation security expertise engaged in policy development; and
- Capacity building program for nations needing assistance in order to meet international standards.

In addition to the President's request, in FY 2012, TSA received an increase of \$3.5 million and 14 positions for International Air Cargo Aviation Security Enhancements. The increase will be used to provide additional inspection, regulations and security specialists to ensure compliance with screening requirements, conduct risk assessments, and perform aviation security operations overseas. Dependant on country approval and space at the embassies, these positions included one Transportation Security Administration Representatives (TSAR) in Canada International Civil Aviation Organization (ICAO), one Regional Director for the Africa Middle East region (AME), three International Security Support staff for AME, Western Hemisphere region (WH) and Asia Pacific region (AP), three Global Policy and Planning Analysts, four Security Technical Analysts and two Security Specialists responsible for AME and WH regions.

TSA seeks to work proactively with foreign partners and overseas transportation operations affecting the United States by identifying risk through compliance, mitigating risk through outreach/engagement and capacity development, and responding to incidents as they occur.

## IDENTIFICATION OF RISK



As threats and risks evolve, mitigation efforts will continue to be re-evaluated. As identified in the Transportation Sector Security Risk Assessment, international aviation represents the highest risk category. As a result, outreach and engagement with foreign partners, industry, and within the interagency is necessary to support threat mitigation to ensure policies are understood and implemented. As the threats evolve and shift international locations, TSA must be proactive in evaluating and shifting staff and resources to ensure that mission coverage is located where needed. This right-sizing ensures that the right people are in the right place at the right time. Each region presents its own challenges, but also its own best practices and lessons learned that, when combined, will enhance TSA's ability to affect change globally.

### Transportation Security Administration Representatives (TSARs)

TSARs serve as on-site coordinators for the TSA response to terrorist incidents and threats to U.S. assets at foreign transportation modes. The TSARs also serve as principal advisors on transportation security affairs to U.S. Ambassadors and other embassy officials. TSARs handle all modes of transportation and are responsible for ensuring the National Civil Aviation Security Programs meet international standards for aviation security. TSARs also facilitate the TSA compliance effort by planning and coordinating airport assessments.

TSA increased TSAR positions by three in the FY 2011 using funding from within the programs current base. These positions were for Dubai, United Arab Emirates (UAE); Dakar, Senegal; and New Delhi, India. The embassy in Dubai, UAE does not have adequate space for a TSAR, therefore OGS has shifted this position to Abu Dhabi, UAE, and the request has been approved by UAE and the Department of State (DOS). The TSAR position in New Delhi was rejected by the Government of India. This TSAR position shifted to a Regional Director position to provide coverage in the field. There were space constraints at the Embassy in Dakar so TSA shifted this position to Accra, Ghana,



This request has been denied. TSA is working with other countries in the Africa Middle East region to determine a location. Further, in evaluating the OGS's staffing scorecard and analyzing position locations in respect to threat levels, the decision was made to close the TSAR office in Athens, Greece and relocate it to The Hague, Netherlands and to place a TSAR position in Hawaii to work closely with the Asia Pacific island region. This additional TSAR was created using an existing headquarter position. These shifts occurred in FY 2011. As previously mentioned, a portion of the FY 2012 increase will be allocated to fund an additional TSAR in Canada.

TSA developed, distributed, and analyzed a comprehensive staffing scorecard to determine the number of countries that should be assigned to each TSAR. The scorecard accounts for the number of Last Point of Departure (LPD) airports in a given country, the vulnerabilities at those airports, the number of carriers and weekly flights from the airports, threat level in the country, the level of cooperation between the host government and the United States, the amount of assistance needed (and likelihood of sustainment of any help provided), and the level of priority of the country for TSA and the U.S. Government. The resulting data enables TSA to determine the appropriate distribution of countries to each TSAR to ensure an equivalent workload is maintained across the workforce.

<b>TSARs</b>			
<b>Location</b>	<b>Number</b>	<b>Location</b>	<b>Number</b>
Abu Dhabi UAE	1	Manila Philippines	1
* TBD - AME Region	1	Mexico City Mexico	1
Amman Jordan	1	* Montreal Canada (ICAO)	1
Asia Pacific Islands (Hawaii)	1	Nairobi Kenya	1
Bangkok Thailand	1	Nassau Bahamas	1
Beijing China	1	Ottawa Canada	1
Berlin Germany	1	Paris France	1
Buenos Aires Argentina	1	Rome Italy	1
* Brasilia Brazil	1	Singapore Singapore	1
Brussels Belgium	1	Sydney Australia	1
Caribbean /Central America (Miami)	3	The Hague Netherlands	1
Johannesburg South Africa	1	Tokyo Japan	1
London England	1	Warsaw Poland	1
Madrid Spain	1		
<b>Total 29</b>			

\* Location subject to space availability at Embassies and country approval

## Pre-Clearances

At 14 airports (eight in Canada, two in the Bahamas, one in Bermuda, one in Aruba, and two in Ireland), Customs and Border Protection (CBP) officers pre-clear passengers and baggage for entry into the United States. Inspection procedures, which are commensurate with U.S. port of entry screening, involve immigrations, customs, and agriculture screening. Pre-cleared international flights arrive at a U.S. domestic gate and passengers deplane directly into the sterile area at more than 65 U.S. airports without having another U.S. government inspection. Upon arrival at the U.S. domestic terminal facility, the traveler may either connect to a U.S. domestic flight or they may leave the airport. In order to permit these passengers to bypass TSA screening, TSA must ensure that the screening measures applied to passengers and their carry-on baggage at the pre-clearance foreign airport is equivalent to those measures performed at domestic U.S. airports. Determination of comparability entails extensive negotiation with the host government and frequent observations of operations.

## Capacity Development

TSA's Capacity Development works to raise the baseline of transportation security and address the needs of partner nations to build sustainable aviation security practices through capacity development. An important part of this effort is aviation security training which is in response to needs identified by a number of entities (Department of Homeland Security, Anti-Terrorism Assistance Program, Department of State (DOS), Department of Transportation, and the Organization of American States (OAS)/Inter-American Committee Against Terrorism). In addition to assisting these entities, TSA provides sponsored civil aviation training resulting from foreign airport assessments or at the request of civil aviation authorities of foreign governments as conveyed through TSARs abroad.

TSA training is available to both government and non-governmental entities responsible for performing or overseeing security measures. The following represents a myriad of opportunities that can be provided:

- Auditor/Inspector Techniques;
- Cargo Security Management;
- Essential Instructor Skills Workshop;
- Excellence in Screening Techniques;
- Incident Management and Response;
- Instructional Design and Instructor Skills; and
- Preventive Security Measures.

Aviation security training is conducted on-site in the requesting country, at an international airport or alternate training venue. TSA solicits the assistance of men and women across the agency that have a desire to serve as instructors and provide their subject matter experience to provide assistance to nations in need.

In FY 2011, the DOS sought TSA assistance in providing 17 aviation assistance training missions in 16 countries. Also, the OAS, which is made up of foreign nations in this hemisphere, also sought TSA

assistance in providing 16 aviation assistance training missions in 14 countries. Both DOS and OAS paid for all TSA travel costs associated with these missions.

### Aviation Security Sustainable International Standards Team (ASSIST)

In addition to conducting aviation security training courses in support of TSA initiatives the ICAO, the Organization of American States and the U.S. Department of State, and TSA developed and fielded its own capability for providing focused and comprehensive support to willing partner countries with the goal of appreciably enhancing their aviation security programs. ASSIST deploys single and multifaceted teams of subject matter experts to provide in-depth training and technical assistance that help willing aviation security officials develop and sustain suitable aviation security institutions and procedures that meet all international standards and recommended practices. ASSIST focuses geographically on Africa, the Latin America/Caribbean area, and the Asia-Pacific region in light of the exponential growth in traffic from these regions to the United States, as well as concerns about the security of transiting U.S. passengers and cargo.

### Cargo Security

Air cargo security, especially those measures applied to goods carried on passenger aircraft, remains important to DHS. TSA continued several efforts initiated in FY 2010 to ensure that cargo destined for the United States is subjected to the required level of screening. These efforts include:

- Convening the International Cargo Workgroup and focusing on the full spectrum of cargo security issues such as determining acceptance of other countries' cargo programs, identifying best practices for dissemination to other cargo experts, and incorporating all-cargo operations into the Compliance Work Plan;
- Revising the comprehensive Risk Methodology that aligns with the process used for passenger airports;
- Ensuring that the FY 2012 Work Plan reflects a comprehensive review of all airports and carriers involved in transporting cargo directly to the United States;
- Implementing the airport assessment methodology for those airports providing only cargo operations/service to the United States;
- Beginning compliance/verification procedures for new ICAO standards pertaining to Supply Chain Security; and
- Conducting visits to all airports and air carrier stations involved in transporting cargo on passenger aircraft to the United States.

As mentioned above, TSA received an additional \$3.5 million and 14 positions in FY 2012 for International Air Cargo Aviation Security Enhancements. These funds and positions will be utilized for the coordination of cargo security efforts.

### Transportation Security Specialists (TSS)

TSA's OGS identifies vulnerabilities at foreign locations through two primary means – assessments of foreign airports and inspections of air carriers that fly from those airports.

Under 49 United States Code (U.S.C.) 44907, TSA is charged with assessing all foreign airports with flights to the United States and those from which U.S. air carriers operate (regardless of the destination). TSA has a cadre of Security Specialists who visit the nearly 300 airports at one- to three-year intervals. Frequency of the visits is based on risk computations of current threat, documented vulnerabilities, and flight data. During the assessments, TSA evaluates the security posture of the airport in accordance with security standards established by the ICAO. The observations focus on screening (passengers, accessible property, and checked bags), access control (e.g., fence integrity, badge display and control, vehicle access), aircraft security (e.g., ensuring the aircraft was guarded against any unauthorized access), cargo, catering, and quality control (e.g., ensuring that screeners were properly trained).

Annual visits are conducted to ensure that all U.S. air carriers operate in compliance with TSA regulations identified in the Aircraft Operator Standard Security Program (AOSSP) and supporting Security Directives (SDs). TSA also inspects foreign air carriers that fly to the United States from each airport that they operate to ensure compliance with the Model Security Program and supporting Emergency Amendments (EAs). At airports where the vulnerability shortfalls have been documented as particularly egregious, these inspections occur semi-annually.

TSA has a spectrum of responses available to mitigate issues identified during these visits. Options range from providing on-the-spot correction recommendations, to conducting formal training, to recommending enacting a Public Notice that the airport does not implement adequate security measures, to suspending service. These last two responses are usually only considered when all other attempts have failed in assisting the airport or host government to improve security. Interim measures may also include issuance of site-specific SDs and EAs (that require additional measures by the regulated air carriers) or repeated visits by Security Specialists to evaluate progress.

The TSS and support staff will enable TSA to continue airport assessments, air carrier inspections, and in the very near future, foreign repair stations audits. In FY 2012, TSA increased the TSS Cargo Inspectors by 37 - reference the PPA Air Cargo for funding information.

<b>TSS</b>	
<b>Location</b>	<b>Number</b>
Dallas	22
*Frankfort	27
Los Angeles	19
Miami	29
Singapore	13
AME Region	8
HQ	9
<b>TOTAL</b>	<b>127</b>

\*FY12 FTP location subject to space availability at Embassies

\*\*AME ROC location TBD – working with countries

The nine headquarters staff are made up of 6 TSS Desk Officers, one Compliance Assistant, one Cargo TSS Program Analyst, and one dedicated Inspection Trainer.

### Repair Station Inspection Program

TSA is required under Vision 100 (49 U.S.C. 44924) to establish security regulations for foreign and domestic aircraft repair stations and to conduct audits of foreign repair stations. The Aviation Repair Station Security Notice of Proposed Rule Making (NPRM), TSA-2004-1713 RIN 1652-AA38, proposes security requirements for repair stations that are certificated by the Federal Aviation Administration (FAA) and codifies TSA's inspection authority.

This program serves to ensure the security of maintenance, overhaul, repair and assembly work conducted on air carrier aircraft and components at foreign and domestic repair stations. This will be achieved through specific inspection activities including security reviews and audits, vulnerability assessments and surveys. Implementation of the Vision 100 legislation for repair stations will allow FAA to certify new repair stations regulated under 14 CFR part 145.

On November 17, 2009, TSA issued a NPRM for aircraft repair station security that clarifies the agency's inspection authority and imposes security requirements for both domestic and foreign repair stations, notably pertaining to control access for aircraft and aircraft components. Efforts include, but are not limited to, conducting voluntary reviews for security enhancement of foreign and domestic repair stations, inspecting for compliance of approximately 4,100 domestic repair stations and 700 foreign repair stations and identifying security gaps through security analysis and action programs. The final NPRM was drafted and is currently in the approval process with an expected issuance date in calendar year 2012.

The Repair Station Inspection program uses a risk-based methodology to schedule foreign airport assessments and foreign air carrier inspections. Currently, all air carriers are inspected once annually unless they have a high "Airport Vulnerability" rating. This rating is used to determine the frequency of assessment and inspection planning based on the outcome of threat, vulnerability, and consequence analysis. This methodology allows TSA to efficiently utilize its workforce by visiting airports with a higher likelihood of being a target for criminal or terrorist acts, while taking into account analysis of the protective measures in place and the potential impact for loss.

This program engages industry through a voluntary audit program which involves a three-tier approach for conducting audits: 1) scheduling visits using the risk-based prioritization in conjunction with TSA Foreign Airport Assessment Program; 2) outreach to U.S. air carriers to capture the foreign repair stations they contract; and 3) contacting corporations with multi-station ownership for information on their foreign repair stations.

### Global Policy and Programs

TSA's Global Policy and Programs (GPP) guide TSA's development of policy, including cargo policy, affecting international operations and stakeholders. This includes planning international projects and diplomatic approaches, strategic planning, cargo related outreach, and ensuring consistent messaging

to international industry members concerning policy and change. TSA also assigns a point of contact to the ICAO to work collaboratively towards the development of global aviation security standards. Since FY 2010, GPP has performed the ICAO policy development and implementation responsibilities that had been conducted by International Operations Division.

International Industry Representatives

International Industry Representatives (IIRs) serve as TSA's principal representative to the international aviation industry. The role of the IIR has become increasingly involved as more stringent rules, requirements, and procedures have been imposed on foreign air carriers with scheduled or public charter operations to and from the United States from foreign locations. The IIRs provide oversight and guidance to each foreign air carrier and are responsible for ensuring air carriers understand and comply with U.S. regulations and TSA-accepted security programs and initiatives.

In FY 2012, there are twelve IIRs in the field supported by five headquarters desk officers that support the IIR staff in the field. They serve as the headquarters communication and coordination link for the field when resolving highly sensitive security issues associated with international incidents, and develop and analyze the risk assessments and metrics. They communicate intelligence information, assist in the preparation and distribution of DHS/TSA policies and plans for threats to worldwide transportation security systems, and assist IIRs with technical direction for both foreign air and cargo carriers. As the table below indicates, IIRs are placed globally to assist TSA outreach efforts in locations with foreign partners. The IIR locations are determined by regional need, country approval and embassy space.

<b>IIRs</b>	
<b>Location</b>	<b>Number</b>
Abu Dhabi UAE	1
Asia Pacific Islands (Hawaii)	1
Beijing China	1
Caribbean/Central America	2
Frankfort Germany	3
Mexico City Mexico	1
Ottawa Canada	1
Singapore Singapore	1
Warsaw Poland	1
HQ	5
<b>Total</b>	<b>17</b>

The number of active foreign air carriers fluctuates per year as new carriers either begin or cease operations to the United States. At the close of FY 2011, there were 222 TSA-regulated passenger and all-cargo carriers.



# Office of Global Strategies

**Positions Include:**

- TSA Representatives (TSARs )
- International Industry Representatives ( IIRs)
- Regional Managers
- Regional Operations Center (ROC) Managers
- Transportation Security Specialists (TSs )

**Latin America**

- Buenos Aires, Argentina



**Transportation Security Administration**

**Europe**

- Berlin, Germany
- Frankfurt, Germany
- Brussels, Belgium
- The Hague, Netherlands
- London, England
- Madrid, Spain
- Paris, France
- Rome, Italy
- Warsaw, Poland

**Canada/Mexico/Caribbean**

- Ottawa, Canada
- Mexico City, Mexico
- Nassau, Bahamas
- Montreal, Canada (ICAO positions)

**Asia/Pacific**

- Bangkok, Thailand
- Beijing, China
- Kabul, Afghanistan
- Manila, Philippines
- Singapore
- Sydney, Australia
- Tokyo, Japan

**Africa/Middle East**

- Amman, Jordan
- Johannesburg, Kenya
- Nairobi, Kenya
- Stuttgart, Germany (AFRICOM Liaison)
- Abu Dhabi, UAE

**Domestic US**

- Washington, D.C.
- Miami
- Dallas
- Los Angeles
- Honolulu

**Pending \***

- Brasilia, Brazil
- AME Region location TBD

\* (Locations in each region may change - subject to country clearance ; ... )

**Airport Law Enforcement & Assessments: \$70.6 million**

Law Enforcement Officer (LEO) Reimbursement Program: In accordance with the ATSA, TSA established cooperative agreements with state and local law enforcement agencies to provide uniformed officers at passenger security checkpoints under the flexible response authorities granted to TSA. These agreements provide financial assistance to partially reimburse airports at screening points throughout the United States for post 9/11 law enforcement hours. They ensure that a consistent law enforcement presence is always available to deter suspicious activity and respond quickly in the event of a breach of security at designated checkpoints.

In FY 2011, TSA funded 327 cooperative agreements that included the following LEO patrol and response hours:

Airport Category	Hours
Cat I	524,851
Cat II	454,435

<b>Cat III</b>	348,771
<b>Cat IV</b>	244,179
<b>Cat X</b>	813,666
<b>Total</b>	<b>2,385,902</b>

In FY 2012 and FY 2013, TSA will continue to improve program efficiencies and maximize the use of available program funds by reviewing participants' actual annual expenditures and adjusting award levels accordingly. The review process will include site visits to a select number of airports during the course of the fiscal year to ensure operational and fiscal compliance.

Assistant Federal Security Directors for Law Enforcement (AFSD-LEs):

In addition to these agreements, AFSD-LEs further coordinate and support TSA's security efforts with local law enforcement. AFSD-LEs partner with law enforcement officials from other Federal, State, and local agencies to address significant issues, share intelligence and ensure the safety of airports. AFSD-LEs are assigned to a hub airport, but most are also responsible for spoke airports in their district. By the end of FY 2012, TSA will have 104 AFSD-LEs positions that cover 275 airports due to an increase of 22 additional positions.

These positions will help to mitigate response times for investigations and to ease congestion at the checkpoint. Given the increased threat to aviation security, the additional strategically placed AFSD-LEs will provide an additional layer of support to the airports.

Joint Vulnerability Assessments:

Joint Vulnerability Assessments (JVAs) are a joint effort undertaken by TSA and FBI with the purpose of assessing current and potential threats to commercial air transportation facilities within the United States. The process is a direct result of the increasing threats to aviation, which prompted Congress to pass Section 310 of the Federal Aviation Reauthorization Act of 1966. Section 310 requires the FAA and the FBI to conduct joint threat and vulnerability assessments of security at U.S. airports. This responsibility was transferred to TSA under ATSA.

Man-Portable Air Defense System (MANPADS) Vulnerability Assessments (MVAs) are designed to enhance security of air transportation by minimizing the potential for missile or stand-off weapons attack against aircraft. The program is designed to deter, detect, and mitigate the MANPADS threat.

Multiple Disciplinary Vulnerability Assessment (MDVA) is a vulnerability assessment initiative that capitalizes on a multi-layered approach to gather and analyze information identified as vulnerabilities from personnel, physical and information systems within the inter-security environment of an airport. The MDVA will identify and mitigate insider threats. Oversight of the MDVA program was transferred from the TSA's Office of Inspections to TSA's Office of Law Enforcement/Federal Air Marshal Service (OLE/FAMS), in January 2011.

TSA also conducts international MANPADS Assist Visits (MAV) to partner with international allies on joint international assessments that are appropriate and mutually beneficial to the U.S. Government



and the host nation. These visits are similar to the domestic MANPADS Vulnerability Assessments and are conducted at foreign airports at the host country's request to help identify and define potential launch locations in areas surrounding the airport by using known terrorist methodology and weapon employment tactics and capabilities.

**National Explosives Detection Canine Training Program (NEDCTP): \$62.1 million**

TSA's NEDCTP develops, trains, deploys, and certifies explosives detection canine teams to deter and detect the introduction of explosive devices into the transportation system. Each team is composed of a specially trained canine and either a TSA or State and local law enforcement handler. Bomb threats cause disruption of air, land, and sea commerce and pose an unacceptable danger to the traveling public. Explosives detection canine teams are proven and reliable resources in the detection of explosives and are a key component in a balanced counter-sabotage program. Fostering partnerships throughout the Federal government, State and local law enforcement, and the international community is a key element of TSA's mission.

The use of TSA Passenger Screening Canine (PSC) teams in the airport passenger environment is an effective and efficient way to screen the general public in mass amounts. The Passenger Screening Canine (PSC) detection methodology relies on the canine's ability to process air currents and recognize odors that it is trained to detect, carried or body worn explosives whether someone is moving or still. The canine handler is trained to read the canine's behavioral changes to determine when and where the canine is indicating an explosives odor without knowledge of the targeted subject and follow the vapor wake to the explosive source.

Through Other Transaction Agreements (OTAs), TSA provides funding for training, certification and maintenance of the explosives detection capable canines, training for the handlers, and partial reimbursement of handlers' salaries and other costs. Through reimbursable (formerly cooperative) agreements, TSA provides funding for training, certification and maintenance of the explosives detection capable canines, training for the handlers, and partial reimbursement of handlers' salaries and other costs. In FY 2013, TSA plans to annualize the 20 additional PSC teams received in FY 2012.

<b>Explosives Detection Canine Team Assignments</b>	<b>FY 2012</b>	<b>FY 2013</b>
<b>AVIATION REGULATION &amp; ENFORCEMENT</b>		
<b>Aviation:</b> State & Local Law Enforcement-led teams <i>Funded 75% from Aviation Regulation &amp; Enforcement</i>	<b>497 teams @ 78 airports</b>	<b>497 teams @ 78 airports</b>
<b>Multi-Modal:</b> State & Local Law Enforcement-led teams	<b>21 teams @ 6 locations</b>	<b>21 teams @ 6 locations</b>
<b>Proprietary/Proprietary Multi-Modal:</b> Fed-led team	<b>23 teams @ 7 locations, 22 locations TBD</b>	<b>23 teams @ 7 locations, 22 locations TBD</b>
<b>Passenger Screening Canine Teams:</b> Fed-led teams <sup>1</sup>	<b>120 teams @ 30 airports</b>	<b>120 teams @ 30 airports,</b>
<b>AIR CARGO</b>		
<b>Legacy Cargo-Centric:</b> State & Local Law Enforcement-led teams <i>Funded 25% from Air Cargo for time spent in the Air Cargo environment.</i>	<b>Same team and location totals as Aviation Regulation</b>	<b>Same team and location totals as Aviation Regulation</b>
<b>Proprietary Cargo-Centric:</b> Fed-led teams	<b>120 teams @ 20 airports</b>	<b>120 teams @ 20 airports</b>
<b>SURFACE</b>		
<b>Mass Transit/Maritime:</b> State & Local Law Enforcement-led teams	<b>117 teams @ 18 locations</b>	<b>117 teams @ 18 locations</b>
<b>TOTAL NUMBER OF CANINE TEAMS</b>	<b>920</b>	<b>920</b>

<sup>1</sup> Passenger Screening Canine (PSC) is now used versus “Vapor wake ®” which is a trademarked term associated with Auburn University.

## **Transportation Security Network Management (TSNM) \$12.7 million**

TSNM coordinates aviation security efforts with airlines, airports, and within the general aviation community.

The Commercial Aviation Division is formed by the Office of Commercial Airlines and the Office of Commercial Airports. This division enhances communication and collaboration in policy development and management to improve the security of our Nation's commercial airports and airlines by working collaboratively with airline and airport industry stakeholders and their representatives to develop and manage aviation security policies and programs based on evolving threats.

### ***Commercial Airlines***

The Commercial Airlines program is responsible for 69 U.S. certificated aircraft operators. This activity includes the TSA/Aircraft Operator Corporate liaison function, development of new aviation security policy, and management of existing policy for necessary modification or elimination based on the evolving threat against full program commercial airlines. Assigned to multiple commercial airlines, Principal Security Specialists (PSSs) act as the TSA representative to provide the industry with supporting interpretations, clarifications, and assessments of the regulations. This office monitors the specific operator's compliance level and takes action when a trend is identified. PSSs are subject matter experts on their assigned carriers, included approvers of carrier's security training programs provided to the flight deck and cabin crew, and ground security coordinators. Additionally, staff from the Policy Branch provides vital subject matter expertise for critical incident management during times of national emergencies and conduct outreach to airlines when developing aviation security measures to mitigate threats. The Policy Branch initiates AOSSP changes, amendment and alternative procedures.

### ***Commercial Airports***

The Commercial Aviation Airports program builds relationships with the commercial airport industry and oversees the development of policies and programs to enhance security at the Nation's commercial airports. This office tasked the Homeland Security Study Analysis Institute (HSSAI) with developing a framework to assist commercial airport operators with resource allocation decisions, allowing TSA and the FSDs to understand factors that airport operators consider in making decisions regarding security resources in a fiscally constrained environment, and to inform airport operators of the various costs and benefits of innovative security measures in use at a range of commercial airports. TSA also continues to promote airports' biometrically enabled interoperable solutions based upon federal standards to include PIV-I, for non-federal issuers of credentials and FIPS-201. In spring 2010, TSA in partnership with industry, began revisions to this document which focuses on best practices with the intent to assist airport operators with incorporating security elements in planning, design and construction efforts. The revised document was published in May 2011. The In Depth Security Review (IDSR) completed the review of all 1,542 security directives, alternate procedures and security program amendments. It has organized requirements by area (such as patrols, access points, and vehicle inspections) and is putting forth recommendations to rescind, clarify, or consolidate requirements as necessary.

## **General Aviation (GA)**

General Aviation coordinates aviation security efforts with airlines, airports, and within the general aviation community. GA includes corporate operators, recreational and private aircraft, and charter operations; private and public use of general aviation airports, airmen, and airspace. The program works collaboratively with industry and government stakeholders to develop innovative methods to enhance security and to develop, disseminate, and consistently apply a framework of appropriate and feasible security standards. TSNM serves as the “one-stop” shop for all GA security matters. The program uses a threat based and risk management approach to develop strategies, policies, plans, and programs to reduce the security risks and vulnerabilities associated with GA operations.

### **Visible Intermodal Prevention and Response (VIPR): \$37.4 million**

The objective of VIPR deployments is to augment capabilities that disrupt and deter potential terrorist activity. To achieve this end, TSA utilizes risk-based, periodic random deployments that are unpredictably executed in timing, location, and types of activities. VIPR operations teams consist of TSA personnel that may include TSIs, TSOs, FAMs, BDOs, TSS-Es, Explosives Detection Canine teams, and Federal, State and local law enforcement officers. Uniformed VIPR team members provide a visible and official security presence apparent to all who use or are observing the mass transit or passenger rail system. VIPR activities bolster the system’s efforts to prevent an adversary from orienting on and breaching a pattern in security activities. The total number of VIPR deployments across transportation modes increased to approximately 170 to 190 per week in 2011. In FY 2013, TSA plans to annualize the 12 multi-modal VIPR teams received in FY 2012.

In FY 2013, the Aviation Regulation & Enforcement PPA will be reduced by \$30.6 million due to Enterprise-wide Efficiencies, and efficiencies from Administrative/Professional Support, and savings supplies, materials, operations and maintenance of equipment, and other expenses.

The following table provides a further breakout of the Administrative Savings for this initiative:

#### **Management Efficiencies – (\$30.574 Million) (dollars in thousands)**

<b>Item</b>	<b>Sub-Total</b>	<b>Total</b>
Enterprise-Wide Efficiencies		(\$598)
General TDY	(\$372)	
Overtime	(\$41)	
Conferences	(\$185)	
Management Adjustments		(\$29,976)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Airport Management and Support  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Airport Management and Support**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2,622</b>	<b>2,313</b>	<b>488,672</b>
<b>2012 Enacted Budget Authority</b>	<b>3,081</b>	<b>2,974</b>	<b>570,226</b>
2013 Adjustments-to-Base	1	48	(611)
<b>2013 Current Services</b>	<b>3,082</b>	<b>3,022</b>	<b>569,615</b>
<b>2013 Total Requested Budget Authority</b>	<b>3,082</b>	<b>3,022</b>	<b>569,615</b>
Total Change 2012 to 2013	1	48	(611)

TSA requests \$569.6 million for Airport Management and Support. The adjustments-to-base include: an increase of 1 FTP/1 FTE for DHS Balanced Workforce Strategy Follow-On; a decrease of \$5,000 for transfer from Aviation Security appropriation to Transportation Security Support appropriation; an increase of \$1.3 million for pay COLA; an increase of 18 FTE and \$2.4 million for annualizations associated FY 2012 program increases for field staff and other support costs related to Transportation Security Officers (TSOs), 12 multi-modal Visible Intermodal Prevention and Response Teams, Passenger Screening Canines, and international staff; an increase of 29 FTE and \$4.5 million for annualizations associated with prior year field staff and other support costs related to TSOs hired for the first 1,000 deployed Advanced Imaging Technology machines; a decrease of \$26,000 for Enterprise-Wide efficiencies; and a decrease of \$8.7 million in Management Adjustments including efficiencies from supplies, materials, and other expenses.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components of this PPA.

(dollars in millions)

	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
Federal Security Directors (FSD) Staff and Headquarters	\$353.8	\$355.0
Transportation Security Operations Center (TSOC)	\$ 22.3	\$ 22.0
Airport Parking, Transit, and Fleet	\$ 27.2	\$ 27.0
Airport Rent, Furniture, Utilities, and Janitorial	\$166.9	\$165.6
<b>Total</b>	<b>\$570.2</b>	<b>\$569.6</b>

**Federal Security Directors (FSD) Staff and Headquarters: \$355.0 million:** This funding supports the salaries and benefits of FSDs and their staff, as well as travel, training, and contract requirements support. There are currently 120 FSD positions located throughout the Nation’s airports. The current list of airports by category is as follows:

<b>Airports by Category</b>	
CAT X	28
CAT I	57
CAT II	78
CAT III	126
CAT IV	157
<b>Total</b>	<b>446</b>

In addition, this funding provides for headquarters positions that direct the policy, analysis, and administration of aviation screening. Total staffing for the FSDs is as follows:

	<b>FTP</b>	<b>FTE</b>
Headquarters	242	242
Field	2,284	2,199
Transportation Security Specialist. - Explosives	455	438
<b>Total</b>	<b>2,981</b>	<b>2,879</b>

FSDs and staff are critical to supporting the front line operations of the TSOs. To streamline the administrative operations and gain efficiency at the airports, larger airports have been designated as hubs. These hubs provide security direction, administrative support, and staffing/personnel as needed to smaller, lower staffed airports (spokes). For example, Boston-Logan International Airport is the hub for seven spoke airports (Bedford-Hanscom, Barnstable, Martha’s Vineyard, Nantucket, Provincetown, Westover and Worcester airports).

FSDs and staff travel frequently between the hubs and spoke airports. Funding for airport management and staff provides the proper direction, support, and staff at the spokes to ensure efficient and effective operations.

FSDs and staff develop operational strategies to make the screening process more efficient for the traveling public especially during peak travel seasons. They continue to be the central reference point on policy development, information technology, training, performance management, finance, and human resources to support the mission of TSA.

TSA adapts to a dynamic and changing environment with industry accepted scheduling and modeling programs. These applications allow TSA to efficiently determine and schedule the TSO workforce at the Nation’s diverse airports. By accurately predicting, executing, and measuring the number of TSOs required, TSA ensures that the public has a positive experience while maintaining the proper number of TSOs at each airport.

This activity also includes funding for Transportation Security Specialist – Explosives (TSS-Es) (formerly called Bomb Appraisal Officers (BAOs)). The TSS-E program strengthens the security of the Nation's transportation systems by providing frequent interaction and formal training to TSOs to increase their ability to recognize potential Improvised Explosive Devices (IEDs) and IED components. TSS-Es are highly skilled individuals who have undergone training in the disposal of explosive ordinance. This program provides preventative measures against IEDs while reducing costly airport delays and closures. In FY 2011, TSS-Es responded to 9,833 calls for advanced alarm resolution, which prevented the need for bomb squad response and the related terminal disruption time. The TSS-E Program currently operates at 123 airports.

TSS-Es are assigned to select FSDs to provide subject matter expertise to TSA and its stakeholders on chemical, biological, nuclear, radiological, and explosive threats to the Nation's infrastructure. Although TSS-Es are assigned to selected FSD staffs they have regional responsibilities making them available to all FSDs within their region to assist in multi-modal explosives security issues. TSS-Es conduct explosives vulnerability assessments in all transportation modes, participate in aviation related Joint Vulnerability Assessments and MANPAD Vulnerability Assessments. They assist in the development of mitigation plans, conduct tailored explosives recognition and response training, and develop exercises for all transportation modes. TSS-Es also provide transportation specific expertise to the FBI Explosives Unit and the National Transportation Safety Board during investigations where explosives are suspected or confirmed.

**Transportation Security Operations Center (TSOC): \$22.0 million:** The TSOC is located at TSA's Freedom Center in Northern Virginia. The TSOC provides 24/7/365 coordination, communications, collaboration of intelligence and domain awareness for all DHS transportation-related security activities worldwide. The TSOC correlates and fuses real-time intelligence and operational information, ensuring unity of action in the prevention of, and response to, terrorist-related incidents across transportation modes. The TSOC is co-located and closely aligned with TSA's Continuity of Operations and Emergency Preparedness activities. During FY 2011, TSA finished construction of an updated operational pod for the National Capital Region Coordination Center, a multi-agency collaborative effort to oversee the security of the National Capital Region, on the TSOC Watch Floor to enhance the National Capital Region security with seven federal partners and three departments. The TSOC absorbed the security related functions of the TSA Contact Center. The TSOC TCC vets reported security-related gaps and vulnerabilities received via phone and email from the general public. Further, the program initiated the acquisition to develop and deliver a training program, across the TSA enterprise, to prepare those involved with critical incident management with the ability to understand and carry out their roles and responsibilities.

**Airport Parking, Fleet Services, and Transit Benefits: \$27.0 million:** This program provides parking at 28 participating airports for field staff. In addition, TSA provides transit benefits for field office employees as well as provides fleet services. TSA will conduct site visits and assessments to ensure policies and procedures are adhered to and provide spot training/corrections to eliminate waste, fraud and abuse.

**Airport Rent and Furniture: \$165.6 million:** In support of its field operations, TSA leases over 3 million square feet of space with more than 700 leases at more than 450 airport locations. On-airport

space is used for mission-critical direct TSO support, such as break rooms, lockers, emergency coordination rooms and training facilities. These airport leases are typically short-term, requiring frequent re-negotiation due to the lease terms and conditions required by local airport authorities. The annual rent is set by the local airport authority based on formulas to recapture operating costs, capital improvements, and major repairs. Annual increases are generally far greater than the change in the Consumer Price Index or any other general economic measure. Airport rent is far more expensive and far less predictable than general office space in other commercial buildings. TSA also manages a Checkpoint License program under which airports are reimbursed for the cost of providing electrical service to the TSA equipment and operations at the checkpoint, as well as providing janitorial and trash removal service to the TSA checkpoints.

In FY 2013, the Airport Management & Support PPA will be reduced by \$8.7 million due to management efficiencies and savings from the purchase of supplies, materials, and other expenses. The following table provides a further breakout of the Administrative Savings for this initiative:

**Management Efficiencies – (\$8.701 Million)**  
**(dollars in thousands)**

<b>Item</b>	<b>Sub-Total</b>	<b>Total</b>
Enterprise-Wide Efficiencies		(\$26)
Overtime	(\$26)	
Management Adjustments		(8,675)



**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
FFDO and Flight Crew Training  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: FFDO and Flight Crew Training**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>44</b>	<b>29</b>	<b>23,518</b>
<b>2012 Enacted Budget Authority</b>	<b>44</b>	<b>42</b>	<b>25,461</b>
2013 Adjustments-to-Base	-	-	(320)
<b>2013 Current Services</b>	<b>44</b>	<b>42</b>	<b>25,141</b>
2013 Program Change	-	-	(12,641)
<b>2013 Total Requested Budget Authority</b>	<b>44</b>	<b>42</b>	<b>12,500</b>
Total Change 2012 to 2013	-	-	(12,961)

TSA requests \$12.5 million for this activity. The adjustments-to-base include: \$23,000 for pay COLA, a decrease of \$13,000 for Enterprise-Wide efficiencies; and a decrease of \$343,000 for management efficiencies. The request also reflects a program decrease of \$12.6 million.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following provides the components of this PPA:

(dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Federal Flight Deck Officer	\$24.1	\$12.5
Crew Member Self Defense	\$1.4	-
<b>Total</b>	<b>\$25.5</b>	<b>\$12.5</b>

The Federal Flight Deck Officer Program (FFDO) program was created by the Arming Pilots Against Terrorism Act of 2003 (APATA – P.L. 107-296), which authorizes the deputation of qualified airline pilots to act as Federal law enforcement officers in order to defend the flight decks of aircraft against acts of criminal violence or air piracy. This voluntary program provides a combination of law enforcement training in firearms proficiency, self-defense tactics, authority, use-of-force, and decision-making in defense of both commercial and cargo aircraft.

The Crew Member Self Defense (CMSD) Program was established via the Vision 100 – Century of Aviation Reauthorization Act (FAA Reauthorization Act) in 2004. The Act requires TSA to develop and make available to flight and cabin crewmembers a voluntary, advanced self-defense training program as another means of safeguarding the civil aviation system.

In FY 2013, the FFDO PPA will be reduced by \$343,000 due to enterprise-wide efficiencies and savings from the purchase of supplies. The following table provides a further breakout of the Administrative savings for this initiative:

**Management Efficiencies - (\$0.343 Million)**  
(dollars in thousands)

<b><u>Item</u></b>	<b><u>Sub-Total</u></b>	<b><u>Total</u></b>
Enterprise-Wide Efficiencies		(\$ 13)
General TDY	(\$ 9)	
Overtime	(\$ 4)	
Management Adjustments		(\$330)

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Air Cargo  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Air Cargo**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>756</b>	<b>706</b>	<b>132,607</b>
<b>2012 Enacted Budget Authority</b>	<b>799</b>	<b>749</b>	<b>120,654</b>
2013 Adjustments-to-Base	-	18	1,442
<b>2013 Current Services</b>	<b>799</b>	<b>767</b>	<b>122,096</b>
<b>2013 Total Requested Budget Authority</b>	<b>799</b>	<b>767</b>	<b>122,096</b>
Total Change 2012 to 2013	-	18	1,442

TSA requests \$122.1 million for this activity. The adjustments-to-base include: an increase of \$327,000 for pay COLA, an increase of 18 FTE and \$2.5 million to annualize additional inspectors provided in FY 2012, and a decrease of \$1.4 million for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Aviation and Transportation Security Act of 2001 charges TSA with the implementation of statutory requirements for ensuring the security of transportation systems and passengers when cargo is transported by air.

The following table provides the components of this PPA.

(dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Air Cargo Policy Programs	\$17.0	\$16.6
Air Cargo Screening Technologies	\$10.1	\$12.4
Air Cargo Inspectors	\$63.3	\$65.7
Canine Program (Air Cargo)	\$30.2	\$27.4
<b>Total</b>	<b>\$120.6</b>	<b>\$122.1</b>

## **Air Cargo Policy Programs: \$16.6 million**

The program is responsible for securing the air cargo supply chain including cargo, conveyances, and people. The air cargo transportation system consists of approximately 450 domestic airports, 225 air carriers, and 4,100 indirect air carriers and shippers. An estimated 32 billion pounds of cargo is shipped within the United States by air annually. TSA focuses on two primary security threats related to the air cargo transportation system: (1) introduction of an explosive device on a passenger aircraft, and (2) the hijacking of an all-cargo aircraft resulting in its use as a weapon of mass destruction.

The *Implementing Recommendations of the 9/11 Commission Act of 2007* (9/11 Act) required TSA to implement a system to ensure that 100 percent of all cargo on passenger aircraft is screened at a level commensurate with checked baggage. To meet this requirement, TSA has employed two phases for screening air cargo: one phase for cargo departing U.S. airports, and the other phase for international inbound cargo. As of August 1, 2010, 100 percent of all cargo transported on a passenger aircraft departing U.S. airports are required to be screened. In January 2011, Secretary Napolitano and TSA Administrator Pistole asked passenger carriers to comment on their ability to screen 100 percent of air cargo on international inbound passenger aircraft by December 31, 2011. The Department has completed its evaluation of formal industry comment to this proposal. TSA is now implementing a risk-based strategy to achieve the 100% screening of international inbound cargo on passenger aircraft by December 1, 2012. TSA will work with industry to leverage and enhance ongoing TSA programs and certify foreign aviation security programs that are commensurate with TSA standards through TSA's National Cargo Security Program recognition process. As of December 2010, TSA implemented requirements for 100 percent of high-risk cargo on international flights bound for the United States to be screened on both passenger and all-cargo air carriers.

For cargo departing U.S. airports on passenger carriers, TSA recognized that 100 percent screening could not be achieved solely by the carriers screening cargo. To limit screening capacity to a single point within the cargo supply chain would create significant delays and missed flights, and ultimately impede the flow of commerce. To support the requirement on industry to screen 100 percent of air cargo transported on passenger aircraft from U.S. airports, TSA developed the Certified Cargo Screening Program (CCSP). CCSP allows screening of cargo at points throughout the supply chain by an approved Certified Cargo Screening Facility (CCSF) prior to the arrival of the cargo at airport. Under the CCSP, TSA certifies cargo screening facilities located throughout the United States to screen cargo prior to providing it to airlines for shipment on passenger flights. Participation in the program is voluntary and designed to enable vetted, validated and certified supply chain facilities to comply with the 100 percent screening requirement. CCSP is a practical, supply chain solution, which provides security while ensuring the flow of commerce. Cargo is screened at the most efficient and effective point. It is done before individual pieces of cargo are consolidated for shipment.

In support of systems for the enhanced screening of international air cargo, TSA formally established an agreement with the Customs and Border Protection (CBP) National Targeting Center Cargo in FY 2010 to increase information sharing between the agencies and explore the feasibility of leveraging CBP's Automated Targeting System (ATS) to assess the risk of inbound international cargo shipments. In FY 2011, TSA and CBP commenced an voluntary pilot to collect data, refine targeting procedures, and establish appropriate communication systems in order to test pre-departure advanced information

collection, threshold targeting, and TSA response procedures at non-U.S. locations. Pilot activities are focused on a proof of concept for each of the key building blocks – data, targeting, and enhanced screening – building toward implementation of a comprehensive pre-departure targeting and physical screening regime. Advanced Cargo Automated System (ACAS) can provide a vehicle for targeting, but will not replace the TSA physical screening requirements of the 9/11 Act for passenger aircraft. TSA is exploring a risk-based approach to enable industry to achieve this mandate.

### **Air Cargo Screening Technologies: \$12.4 million**

Cargo screening faces unique challenges due to a wide variance in commodities, volume, throughput, and facility characteristics for each screening entity. No single technology is appropriate for every screening scenario. TSA has authorized a suite of technologies and associated screening protocols from which screening entities may choose on the basis of their unique requirements and commodities.

The below technologies are currently being used by industry and TSA to screen air cargo on passenger aircraft unless otherwise noted.<sup>2</sup>

- Explosives Trace Detection (ETD)
- Advanced Technology (AT) X-Ray (Small Aperture & Medium Aperture)
- X-Ray (Large Aperture)
- Explosives Detection Systems (EDS)
- Electronic Metal Detection (EMD)

TSA publishes authorized screening equipment on the TSA Air Cargo Screening Technology List on a secure website accessible by the regulated parties, which industry references when making their procurement decisions. The current TSA Air Cargo Screening Technology List contains 87 pieces of cargo screening equipment. TSA has qualified 13 large aperture X-Ray technologies for screening skid-level configurations. TSA continues to evaluate the operational efficacy of these technologies to accommodate the cargo screening volumes currently required to support the 100-percent screening mandate. TSA is also evaluating other technologies for air cargo screening including vapor detection systems and acoustic-based technologies. Outcomes of DHS and TSA field testing and evaluation and the Indirect Air Carrier (IAC) CCSP may result in modifications or additions to this list. TSA has also issued screening protocols for use of these technologies. The protocols detail screening methodologies for each technology type and provide guidance on which technologies can be used for specific commodity classes.

### **Air Cargo Inspectors: \$65.7 million**

#### **Domestic Cargo Inspections**

TSA Transportation Security Inspectors-Cargo (TSI-Cs) perform compliance inspections, including special emphasis inspections, focused inspections, air cargo strikes (weeklong compliance enforcement

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<sup>2</sup> Certain screening equipment purchased by industry before February 2009, and not currently on the *TSA Air Cargo Screening Technology List*, has been approved by TSA on a case-by-case basis until designated expiration dates.

surges focused on IACs, air carriers, and CCSFs within a single metropolitan area), investigations and tests of air carriers and IACs. TSA TSI-Cs also perform educational outreach to assist air carriers and IACs in complying with air cargo security mandates. TSI-Cs are located at 121 airports with high cargo volumes in the United States.

Air Cargo Inspectors enforce statutory and regulatory requirements and provide guidance to industry on securing air cargo. Inspectors ensure that air carriers (passenger and all-cargo) and indirect air carriers meet their operational responsibility by implementing the security requirements issued by TSA. This includes maintaining a TSA-approved security program that describes the security policies, procedures, and systems that must be implemented in order to comply with TSA security requirements. These requirements include measures related to the acceptance, handling, and inspection of cargo; training of employees in security and cargo inspection procedures; testing employee proficiency in cargo inspection; and access to cargo areas and aircraft.

TSA provides compliance oversight of 225 domestic aircraft operators and foreign air carriers as well as 4,100 IACs. Each year, TSA inspectors carry out planned and random inspections targeting these foreign and domestic air carriers and IACs. In addition, inspectors conduct monthly cargo strikes (week-long compliance exercises in a single metropolitan area) at airports and IAC facilities. TSA also promotes the full compliance with security requirements through outreach programs and collaboration with industry.

TSA is utilizing testing of regulated entities to confirm that correct cargo-screening procedures are carried out.

The FY 2013 Compliance Work Plan (CWP) outlines goals for inspecting regulated entities based upon risk at the station level, in addition to the minimum entity inspection requirements. TSA calculates risk scores for airlines (which include both passenger and all-cargo), IACs, and CCSFs. Risk scores will be utilized in FY 2013 to focus Inspector time during all field activities, including Cargo Strikes, Special Emphasis Inspections (SEIs) and testing. At a high-level, TSI-Cs conduct inspections based on following risk schema:

- Previous inspection and test results;
- Previous investigation/non-compliance history;
- Operation volumes; and
- Intelligence and other special considerations.

#### International Cargo Inspections

In addition to domestic inspections, TSA has developed and begun implementation of a strategy for 100 percent screening for international inbound cargo. TSA developed a process for the NCSP recognition and will assess and declare that other nation's cargo security programs are security-comparable to ours. TSA piloted the NCSP process through re-assessment of four legacy recognized programs.

In FY 2013, TSA plans to annualize the 39 positions received in FY 2012 for Air Cargo Security Enhancements. The increase of 37 TSS Cargo inspectors and 2 TSS Cargo program staff will support security efforts to ensure compliance with screening requirements, perform risk assessments, and

conduct aviation security operations overseas. All TSS are cross trained to perform cargo inspections and general inspections for time and expense efficiencies depending where they are located globally.

**Canine Program (Air Cargo): \$27.4 million**

Canines provide a valuable tool to assist in the screening of air cargo. In the air cargo environment, TSA currently employs two types of canine teams to screen cargo destined for transport on passenger aircraft: teams led by state/local law enforcement officers (LEOs) and proprietary (federal) teams led by TSA cargo inspectors. TSA funds a total of 638 canine teams (518 local LEO-led canine teams and 120 authorized federal-led canine teams) that are allocated to 78 airport locations throughout the United States. The 497 local LEO-led canine teams spend approximately 25 percent of their time in the air cargo environment and associated facilities providing law enforcement presence and screening air cargo. The 120 TSA proprietary teams are primarily dedicated to screening air cargo at high-volume air cargo facilities to enhance air cargo security and support the 100-percent screening congressional mandate. Although screening by aircraft operators and the CCSP were the primary means to achieve 100-percent air cargo screening, these teams are an important addition to the program.

<b>Explosives Detection Canine Team Assignments</b>	<b>FY 2012</b>	<b>FY 2013</b>
<b>AVIATION REGULATION &amp; ENFORCEMENT</b>		
<b>Aviation:</b> State & Local Law Enforcement-led teams <i>Funded 75% from Aviation Regulation &amp; Enforcement Funded 25% from Air Cargo for time spent in the Air Cargo environment.</i>	<b>497 teams @ 78 airports</b>	<b>497 teams @ 78 airports</b>
<b>Multi-Modal:</b> State & Local Law Enforcement-led teams <i>Funded 75% from Aviation Regulation &amp; Enforcement Funded 25% from Air Cargo for time spent in the Air Cargo environment.</i>	<b>21 teams @ 6 locations</b>	<b>21 teams @ 6 locations</b>
<b>Proprietary/Proprietary Multi-Modal:</b> Fed-led team	<b>23 teams @ 7 locations, 22 locations TBD</b>	<b>23 teams @ 7 locations, 22 locations TBD</b>
<b>Passenger Screening Canine Teams:</b> Fed-led teams <sup>3</sup>	<b>120 teams @ 30 airports</b>	<b>120 teams @ 30 airports,</b>
<b>AIR CARGO</b>		
<b>Legacy Cargo-Centric:</b> State & Local Law Enforcement-led teams <i>Funded 25% from Air Cargo for time spent in the Air</i>	<b>Same team and location totals as</b>	<b>Same team and location totals as</b>

<sup>3</sup> Passenger Screening Canine (PSC) is now used versus “Vapor wake®” which is a trademarked term associated with Auburn University.

<i>Cargo environment.</i>	<b>Aviation Regulation</b>	<b>Aviation Regulation</b>
<b>Proprietary Cargo-Centric:</b> Fed-led teams	<b>120 teams @ 20 airports</b>	<b>120 teams @ 20 airports</b>
<b>SURFACE</b>		
<b>Mass Transit/Maritime:</b> State & Local Law Enforcement-led teams	<b>117 teams @ 18 locations</b>	<b>117 teams @ 18 locations</b>
<b>TOTAL NUMBER OF CANINE TEAMS</b>	<b>920</b>	<b>920</b>

In FY 2013, the Air Cargo PPA will be reduced by \$1.4 million due to savings from enterprise-wide efficiencies and savings from the purchase of supplies and materials, as well as efficiencies in the operation and maintenance of equipment. The following table provides a further breakout of the Administrative Savings for this initiative:

**Management Efficiencies- (\$1.430 Million)**  
(dollars in thousands)

<b>Item</b>	<b>Sub-Total</b>	<b>Total</b>
Enterprise-Wide Efficiencies		(\$ 24)
Overtime	(\$ 24)	
Management Adjustments		(\$1,406)



**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Aviation Passenger Security Fee  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Aviation Passenger Security Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	(1,597,535)
<b>2012 Enacted Budget Authority</b>	-	-	(1,634,486)
<b>2013 Current Services</b>	-	-	(1,672,176)
<b>Program Change</b>	-	-	(117,000)
<b>2013 Total Requested Budget Authority</b>	-	-	(1,789,176)
Total Change 2012 to 2013			

**CURRENT SERVICES PROGRAM DESCRIPTION:**

TSA proposes restructuring September 11th Security Fee (Passenger Fee) to achieve total collections including the ASCF and full fee increase of \$2.239 billion in 2013, which will be used to both increase offsets to the discretionary costs of aviation security and provide mandatory savings to be deposited in the general fund for the purposes of debt reduction. The revised FY 2012 Passenger Fee estimate and the fee proposal would increase offsets to the discretionary costs of aviation security by \$155 million over FY 2012, and assumes the restructured Passenger Fee will be implemented for the final three months of FY 2013.

The proposal would replace the current “per-enplanement” fee structure with a “per one-way trip” fee structure so that passengers pay the fee only one time when traveling to their destination. It also removes the current statutory fee limit and replaces it with a statutory fee minimum of \$5.00 in 2013, with annual incremental increases of 50 cents from 2014 to 2018, resulting in a fee of \$7.50 in 2018 and thereafter. The proposed fee would increase collections by an estimated \$25.5 billion over 10 years. Of this amount, \$7.5 billion would be applied to increase offsets to the discretionary costs of aviation security and the remaining \$18 billion would be treated as mandatory savings and deposited in the general fund for debt reduction. In 2023 and beyond, all additional fee revenue from the restructuring would be applied as discretionary offsets. The restructuring would allow TSA the financial flexibility to meet its increasing aviation security costs and better aligns the costs associated with providing passenger security operations to the direct beneficiaries of this unique security service.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Aviation Security Infrastructure Fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Aviation Security Infrastructure Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>(400,366)</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>(420,000)</b>
<b>2013 Current Services</b>	-	-	<b>(420,000)</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>(420,000)</b>
Total Change 2012 to 2013	-	-	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

In FY 2002, the Air Carrier Fee was assessed on the basis of an air carrier's calendar year 2000 passenger and property screening costs. In its 2005 report on this fee, GAO determined that the air carriers should be paying annual fees of \$425 to \$471 million compared with the \$315 million they had been paying. TSA utilized GAO's methodology as the basis to determine total industry costs for passenger and property screening. Choosing the mid-point of this range resulted in an annual fee collection of \$448 million. In June 2010, the U.S. Court of Appeals required TSA to decrease the overall limit of the fee. TSA determined that the new overall limit is \$420 million.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Aviation Security Capital Fund:  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Aviation Security Capital Fund:**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>60,989</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>250,000</b>
<b>2013 Current Services</b>	-	-	<b>250,000</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>250,000</b>
Total Change 2012 to 2013	-	-	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Aviation Security Capital Fund (ASCF) was extended by the 9/11 Bill and is authorized through 2028. The ASCF supports the installation of optimal screening systems at airports and the purchase and installation of Explosives Detection System equipment.

## IV. Program Justification Changes

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** EDS Procurement and Installation Reduction  
PPA: EDS Procurement and Installation  
Program Decrease: Positions 0, FTE 0, Dollars \$(87,815)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							122	116	205,164
Program Decrease							-	-	(87,815)
<b>Total Request</b>	<b>136</b>	<b>119</b>	<b>595,651</b>	<b>120</b>	<b>114</b>	<b>222,738</b>	<b>122</b>	<b>116</b>	<b>117,349</b>

**Description of Item**

The FY 2013 Request includes an \$87.8 million reduction to the EDS Procurement and Installation PPA.

**Justification**

As the Electronic Baggage Screening Program (EBSP) matures and TSA begins to focus on recapitalization efforts, the request redirects \$87.8 million from the EDS Procurement and Installation PPA in FY 2013 and dedicates these resources to other program areas within the agency in order to maintain aviation security readiness and other mission-critical investment programs.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

This reduction will not impact current levels of checked baggage screening or aviation security. TSA will have sufficient funds to maintain checked baggage screening as a result of the FY 2012 legislative change that allows the Aviation Security Capital Fund funding to be used for the procurement and installation of EDS equipment.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** Screening Technology Maintenance Contract  
PPA: Screening Technology Maintenance  
Program Decrease: Positions 0, FTE 0, Dollars \$(17,600)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	326,600
Program Decrease							-	-	(17,600)
<b>Total Request</b>	-	-	<b>322,555</b>	-	-	<b>320,365</b>	-	-	<b>309,000</b>

**Description of Item**

The FY 2013 Request includes a \$17.6 million reduction to the Screening Technology Maintenance PPA.

**Justification**

TSA proposes to redirect \$17.6 million from the Screening Technology Maintenance PPA in FY 2013 and dedicate these resources to other program areas within the Agency in order to maintain aviation security readiness and other mission-critical investment programs. With the procurement of new technologies, efficiencies were gained as a result of extensions of Transportation Security Equipment (TSE) maintenance warranties from 12 to 24 months. The FY 2013 budget request contains support for technologies planned to be procured and deployed in FY 2011 that have been delayed until FY 2012. Additionally, the procurement of CT-80 Reduced Size Explosives Detection Systems (RSEDS), which replaced older and more expensive technologies (primarily CTX-2500 and CTX-5500), also allowed a reduction in the maintenance requirement for the Electronic Baggage Screening Program. TSA intends to purchase 24 month warranties for Explosives Detection System equipment purchased in FY 2012, further reducing the FY 2013 maintenance requirement.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The FY 2013 request level will adequately fund the maintenance of all deployed screening equipment. This proposed reduction will not impact the current levels of security and will allow TSA to more efficiently manage its screening technology maintenance.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** Checkpoint Support  
PPA:  
Program Increase: Positions 0, FTE 0, Dollars \$(31,046)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							61	59	151,285
Program Increase							-	-	(31,046)
<b>Total Request</b>	<b>74</b>	<b>54</b>	<b>240,332</b>	<b>54</b>	<b>52</b>	<b>204,768</b>	<b>61</b>	<b>59</b>	<b>120,239</b>

**Description of Item**

The FY 2013 Request reflects a \$31.0 million reduction to the Checkpoint Support PPA.

**Justification**

TSA proposes to redirect \$31.0 million from the Checkpoint Support PPA in FY 2013 and dedicate the resources to other program areas within the Agency in order to maintain aviation security readiness and other mission-critical investment programs. The FY 2013 current services level will fund the purchase and installation of equipment needed for passenger screening and carry-on baggage screening equipment.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

For FY 2013, TSA has analyzed and reprioritized technology purchases to enhance checkpoint passenger and baggage screening. At the requested level, TSA expects to be at or near Full Operational Capability (FOC) for most of the checkpoint screening technology after FY 2013 purchases. The funds included in the request are directed towards those technologies where FOC has not been reached.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 4:** Program Decrease to Federal Flight Deck Officer Program  
PPA: FFDO and Flight Crew Training  
Program Decrease: Positions 0, FTE 0, Dollars \$(12,641)

Funding Profile

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							44	42	25,141
Program Decrease							-	-	(\$12,641)
<b>Total Request</b>	<b>44</b>	<b>29</b>	<b>23,518</b>	<b>44</b>	<b>42</b>	<b>25,461</b>	<b>44</b>	<b>42</b>	<b>\$12,500</b>

**Description of Item**

The FY 2013 Request includes a \$12.6 million reduction to the Federal Flight Deck Officer and Crew Training PPA.

**Justification**

TSA’s request includes a reduction of \$12.6 million for the Federal Flight Deck Officer (FFDO) and Flight Crew Training program. As TSA focuses its aviation security activities on programs that mitigate the highest amount of risk at the lowest cost, TSA has prioritized funding in the same manner. Funds will be redirected from this voluntary program to other high priority, risk-based operational initiatives. The voluntary FFDO program was created as a “last defense” layer of security at a time when comprehensive aviation screening and other physical security measures were not fully developed or deployed on a system-wide basis. Since 2001, however, many enhancements to aviation security have been made, especially for domestic flights, on which FFDOs are predominantly deployed. Such enhancements include 100 percent screening of all passengers and their carryon items, the installation of reinforced and locking cockpit doors on aircraft that operate in US airspace, and increased passenger and flight crew awareness to address security risks. Combined, these improvements have greatly lowered the risk of unauthorized cockpit access and represent a comprehensive and redundant risk-mitigation strategy that begins well before passengers board the aircraft.

Savings will be generated through efficiencies that may include, but are not limited to, restructuring the FFDO training contract, focusing on recertification of pilots on domestic flights, and the possible consolidation of training facilities.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The FY 2013 request level will adequately fund the Federal Flight Deck Officer and Flight Crew Training program. This proposed reduction will not impact the current levels of aviation security, as TSA will continue to prioritize and implement risk-based layers of security.



## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

**Department of Homeland Security  
Transportation Security Administration  
Justification of Proposed Changes in Aviation Security  
Appropriation Language**

For necessary expenses of the Transportation Security Administration related to providing civil aviation security services pursuant to the Aviation and Transportation Security Act (Public Law 107-71; 115 Stat. 597; 49 U.S.C. 40101 note), [\$5,253,956,000]\$5,098,639,000, to remain available until September 30, [2013]2014, of which not to exceed \$8,500 shall be for official reception and representation expenses: *Provided*, That of the total amount made available under this heading, not to exceed [\$4,167,631,000]\$4,022,439,000 shall be for screening operations, of which [\$543,103,000]\$426,349,000 shall be available for explosives detection systems; [\$204,768,000]\$120,239,000 shall be for checkpoint support; and not to exceed [\$1,086,325,000]\$1,076,200,000 shall be for aviation security direction and enforcement: *Provided further*, That of the amount made available in the preceding proviso for explosives detection systems, [\$222,738,000]\$117,349,000 shall be available for the purchase and installation of these systems[, of which not less than 10 percent shall be available for the purchase and installation of certified explosives detection systems at medium- and small-sized airports]: *Provided further*, That any award to deploy explosives detection systems shall be based on risk, the airport's current reliance on other screening solutions, lobby congestion resulting in increased security concerns, high injury rates, airport readiness, and increased cost effectiveness: *Provided further*, That security service fees authorized under section 44940 of title 49, United States Code, shall be credited to this appropriation as offsetting collections and shall be available only for aviation security: *Provided further*, That the sum appropriated under this heading from the general fund shall be reduced on a dollar-for-dollar basis as such offsetting collections are received during fiscal year [2012]2013 so as to result in a final fiscal year appropriation from the general fund estimated at not more than [\$3,223,956,000]\$2,889,463,000: *Provided further*, That any security service fees collected in excess of the amount made available under this heading shall become available during fiscal year [2013]2014: *Provided further*, That notwithstanding section 44923 of title 49, United States Code, for fiscal year [2012]2013, any funds in the Aviation Security Capital Fund established by section 44923(h) of title 49, United States Code, may be used for the procurement and installation of explosives detection systems or for the issuance of other transaction agreements for the purpose of funding projects described in section 44923(a): *Provided further*, That [none of the funds made available in this Act may be used for any recruiting or hiring of personnel into the Transportation Security Administration that would cause the agency to exceed a staffing level of 46,000 full-time equivalent screeners: *Provided further*, That the preceding proviso shall not apply to personnel hired as part-time employees: *Provided further*, That not later than 90 days after the date of enactment of this Act, the Secretary of Homeland Security shall submit to the Committees on Appropriations of the Senate and the House of Representatives a detailed report on\_] [(1) the Department of Homeland Security efforts and resources being devoted to develop more advanced integrated passenger screening technologies for the most effective security of passengers and baggage at the lowest possible operating and acquisition costs;]

[(2) how the Transportation Security Administration is deploying its existing passenger and baggage screener workforce in the most cost effective manner; and]

[(3) labor savings from the deployment of improved technologies for passenger and baggage screening and how those savings are being used to offset security costs or reinvested to address security vulnerabilities:]

[*Provided further, That*] Members of the United States House of Representatives and United States Senate, including the leadership; the heads of Federal agencies and commissions, including the Secretary, Deputy Secretary, Under Secretaries, and Assistant Secretaries of the Department of Homeland Security; the United States Attorney General, Deputy Attorney General, Assistant Attorneys General, and the United States Attorneys; and senior members of the Executive Office of the President, including the Director of the Office of Management and Budget, shall not be exempt from Federal passenger and baggage screening.*(Department of Homeland Security Appropriations Act, 2012.)*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security<sup>1</sup>  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>56,640</b>	<b>50,819</b>	<b>5,449,781</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>58,749</b>	<b>52,705</b>	<b>5,253,956</b>
<b>Adjustments-to-Base</b>			
<b>Transfers</b>			
Transfer in to Aviation from Support	15	14	1,024
Transfer out from Aviation to Support	-	-	(291)
<b>Total, Transfers</b>	<b>15</b>	<b>14</b>	<b>733</b>
<b>Increases</b>			
2013 pay increase	-	-	13,823
Annualization of prior year part year funding	-	684	63,910
Other Adjustments to Base	-	666	53,614
Realignments	3	3	-
<b>Total, Increases</b>	<b>3</b>	<b>1,353</b>	<b>131,347</b>
<b>Decreases</b>			
FY13 Non-Recur	-	-	(39,375)
DHS Balanced Workforce Strategy Follow-On	16	16	-
Enterprise-Wide Efficiencies	-	-	(29,232)
Admin/Professional Support Efficiencies	-	-	(2,558)
Management Adjustments	-	-	(67,130)
<b>Total, Decreases</b>	<b>16</b>	<b>16</b>	<b>(138,295)</b>
<b>Total, Adjustments-to-Base</b>	<b>34</b>	<b>1,383</b>	<b>(6,215)</b>
<b>FY 2013 Current Services</b>	<b>58,783</b>	<b>54,088</b>	<b>5,247,741</b>
<b>Program Changes</b>			
<b>Decreases</b>			
EDS Procurement and Installation Reduction	-	-	(87,815)
FFDO Efficiency	-	-	(12,641)
Checkpoint Efficiencies	-	-	(31,046)
Screening Technology Maintenance Contract Savings	-	-	(17,600)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(149,102)</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>(149,102)</b>
<b>FY 2013 Requested Budget Authority</b>	<b>58,783</b>	<b>54,088</b>	<b>5,098,639</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>34</b>	<b>1,383</b>	<b>(155,317)</b>

<sup>1</sup> The total FY 2011 – FY 2013 amounts reflect both discretionary and mandatory funding.

**Department of Homeland Security**  
**Transportation Security Administration**  
**Aviation Security:**  
**FY2012 to FY2013 Budget Change**  
(Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	-	-	60,989
FY 2012 Enacted Budget Authority	-	-	250,000
Adjustments-to-Base	-	-	-
Transfers	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	-	-	<b>250,000</b>
Program Changes	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>250,000</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	-

## C. Summary of Requirements

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Summary of Requirements<sup>1</sup>  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	56,640	50,819	5,511,277
<b>FY 2012 Enacted Budget Authority</b>	58,749	52,705	5,503,956
<b>Adjustments-to-Base</b>	-	-	-
Transfers	15	14	733
Increases	3	1,353	131,347
Decreases	16	16	(138,295)
<b>Total, Adjustments-to-Base</b>	34	1,383	(6,215)
<b>FY 2013 Current Services</b>	58,783	54,088	5,497,741
<b>Program Changes</b>	-	-	-
Decreases	-	-	(149,102)
<b>Total, Program Changes</b>	-	-	(149,102)
<b>FY 2013 Requested Budget Authority</b>	58,783	54,088	5,348,639
<b>FY 2012 to FY 2013 Total Change</b>	34	1,383	(155,317)

<sup>1</sup> The total FY 2011 – FY 2013 amounts reflect both discretionary and mandatory funding.

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Screening Partnership Program	-	-	144,193	-	-	(1,003)	-	-	-	-	-	143,190	-	-	(1,003)
Screener PC&B	52,877	47,245	3,025,771	-	1,111	81,878	-	-	-	52,877	48,356	3,107,649	-	1,111	81,878
Screening Training and Other	48	47	249,796	18	17	(24,784)	-	-	-	66	64	225,012	18	17	(24,784)
Checkpoint Support	54	52	204,768	7	7	(53,483)	-	-	(31,046)	61	59	120,239	7	7	(84,529)
EDS Procurement and Installation	120	114	222,738	2	2	(17,574)	-	-	(87,815)	122	116	117,349	2	2	(105,389)
Screening Technology Maintenance	-	-	320,365	-	-	6,235	-	-	(17,600)	-	-	309,000	-	-	(11,365)
Aviation Regulation and Other Enforcement	1,726	1,482	369,984	6	180	2,005	-	-	-	1,732	1,662	371,989	6	180	2,005
Airport Management and Support	3,081	2,974	570,226	1	48	(611)	-	-	-	3,082	3,022	569,615	1	48	(611)
FFDO and Flight Crew Training	44	42	25,461	-	-	(320)	-	-	(12,641)	44	42	12,500	-	-	(12,961)
Air Cargo	799	749	120,654	-	18	1,442	-	-	-	799	767	122,096	-	18	1,442
<b>Total</b>	<b>58,749</b>	<b>52,705</b>	<b>5,253,956</b>	<b>34</b>	<b>1,383</b>	<b>(6,215)</b>	<b>-</b>	<b>-</b>	<b>(149,102)</b>	<b>58,783</b>	<b>54,088</b>	<b>5,348,639</b>	<b>34</b>	<b>1,383</b>	<b>(155,317)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS - Secret Service	-	-	-	-	-	1,500	-	-	-	-	-	(1,500)
DHS - United States Coast Guard	-	-	137	-	-	150	-	-	150	-	-	-
Department of Defense - Africom	1	1	200	1	1	200	1	1	200	-	-	-
Department of Homeland Security	1	1	75	1	1	100	1	1	100	-	-	-
Department of State - Counter Terrorism	-	-	783	-	-	1,300	-	-	1,300	-	-	-
International Civil Aviation Organization	-	-	100	-	-	25	-	-	25	-	-	-
Ministry of Transport and Civil Aviation	-	-	316	-	-	-	-	-	-	-	-	-
Office of the Director of National Intelligence	-	-	200	-	-	200	-	-	200	-	-	-
Organization of American States	-	-	250	-	-	250	-	-	250	-	-	-
Recovery Act Transparency Board	1	1	101	-	-	-	-	-	-	-	-	-
Safe Skies	1	1	1,261	-	-	1,400	-	-	1,400	-	-	-
<b>Total Budgetary Resources</b>	<b>4</b>	<b>4</b>	<b>3,423</b>	<b>2</b>	<b>2</b>	<b>5,125</b>	<b>2</b>	<b>2</b>	<b>3,625</b>	-	-	<b>(1,500)</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Aviation Direction and Enforcement	3	3	3,322	-	-	3,625	2	2	3,625	2	2	-
Checkpoint Support	1	1	101	2	2	-	-	-	-	(2)	(2)	-
Screening Operations	-	-	-	-	-	1,500	-	-	-	-	-	(1,500)
<b>Total Obligations</b>	<b>4</b>	<b>4</b>	<b>3,423</b>	<b>2</b>	<b>2</b>	<b>5,125</b>	<b>2</b>	<b>2</b>	<b>3,625</b>	-	-	<b>(1,500)</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,975,970	2,099,297	2,209,230	109,933
11.3 Other than full-time permanent	285,467	285,685	285,686	1
11.5 Other personnel compensation	169,255	172,141	172,234	93
11.6 Pay Diff (Sun/Night)	79,282	78,061	77,388	(673)
11.7 Military personnel/Awards	92,614	90,622	91,035	413
11.8 Special Service Pay	1,518	1,500	1,500	-
12.1 Benefits	913,332	954,956	976,990	22,034
13.0 Unemployment Compensation	883	730	730	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>3,518,321</b>	<b>3,682,992</b>	<b>3,814,793</b>	<b>131,801</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	74,592	73,337	67,951	(5,386)
22.0 Transportation of things	871	800	783	(17)
23.1 GSA rent	107,822	119,011	120,276	1,265
23.2 Other rent	9,466	11,033	13,499	2,466
23.3 Communications, utilities, and misc. charges	12,491	5,735	5,879	144
24.0 Printing	655	481	448	(33)
25.1 Advisory and assistance services	729,637	478,925	291,324	(187,601)
25.2 Other services	287,952	303,892	257,990	(45,902)
25.3 Purchases from Gov't accts.	48,577	41,124	33,981	(7,143)
25.4 O&M of facilities	15,980	14,828	15,105	277
25.6 Medical care	211	222	220	(2)
25.7 Operation and maintenance of equipment	312,677	318,921	308,136	(10,785)
25.8 Subsistence & Support of persons	4,318	1,500	-	(1,500)
26.0 Supplies and materials	63,243	75,546	76,668	1,122
31.0 Equipment	225,470	305,602	240,853	(64,749)
32.0 Land & structures	8,471	10,003	8,503	(1,500)
41.0 Grants/Subsidies/Contributions	88,254	100,179	89,510	(10,669)
42.0 Insurance Claims and Indemnity	2,753	2,735	2,720	(15)
<b>Total, Other Object Classes</b>	<b>1,993,440</b>	<b>1,863,874</b>	<b>1,533,846</b>	<b>(330,028)</b>
<b>Total, Direct Obligations</b>	<b>5,511,761</b>	<b>5,546,866</b>	<b>5,348,639</b>	<b>(198,227)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>5,511,761</b>	<b>5,546,866</b>	<b>5,348,639</b>	<b>(198,227)</b>
<b>Full Time Equivalents</b>	<b>50,819</b>	<b>52,705</b>	<b>54,088</b>	<b>1,383</b>



## F. Permanent Positions by Grade

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
L Band	15	15	15	-
K Band	486	486	486	-
J Band	992	1,004	1,004	-
I Band	1,744	1,970	1,970	-
H Band	2,217	2,381	2,381	-
G Band	6,115	6,120	6,120	-
F Band	9,097	9,202	9,202	-
E Band	24,763	25,231	25,265	34
D Band	11,136	12,265	12,265	-
C Band	1	1	1	-
B Band	2	2	2	-
Total, SES	72	72	72	-
<b>Total Permanent Positions</b>	<b>56,640</b>	<b>58,749</b>	<b>58,783</b>	<b>34</b>
Unfilled Positions EOY	5,821	6,044	4,695	(1,349)
Total Permanent Employment EOY	50,819	52,705	54,088	1,383
Headquarters	927	927	927	-
U.S. Field	55,539	57,648	57,682	34
Foreign Field	174	174	174	-
<b>Total, Aviation Security:</b>	<b>56,640</b>	<b>58,749</b>	<b>58,783</b>	<b>34</b>
<b>Full Time Equivalents</b>	<b>50,819</b>	<b>52,705</b>	<b>54,088</b>	<b>1,383</b>
Average ES Salary	165,827	165,827	166,656	829
Average Salary, Banded Positions	42,670	42,670	42,883	213
Average Band	E	E	E	

## G. Capital Investment and Construction Initiative Listing

### EDS/ETD PROCUREMENT AND INSTALLATION AVIATION SECURITY

INITIATIVE NAME	FY 2013 FUNDING REQUEST (\$000)			FUNDING FROM:	
	Current Services Level	New Initiative	Total	Budget Activity	Program's Name
Initiative #1 Electronic Baggage Screening Program (EBSP)	\$575,313	\$0	\$575,313	Aviation Security	EDS / ETD Purchase and Install Screening Technology Maintenance
Initiative #2 Passenger Screening Program (PSP)	\$180,126	\$0	\$180,126	Aviation Security	Checkpoint Support Screening Technology Maintenance
Total Non-IT Investment	\$755,439	\$0	\$755,439		
Total of IT Investments	\$0	\$0	\$0		
Total all IT and Non-IT Investments	\$755,439	\$0	\$755,439		

#### INITIATIVE #1

#### *TSA – ELECTRONIC BAGGAGE SCREENING PROGRAM (EBSP)*

##### 1. Project Description, Justification and Scope

The Transportation Security Administration's (TSA) Electronic Baggage Screening Program (EBSP) provides the technology to enable prevention of catastrophic loss from terrorist or criminal activity through deterrence, detection, mitigation, and prevention of explosives or other prohibited and dangerous items in checked baggage on commercial aircraft. EBSP is responsible for full life cycle management of screening equipment utilized for screening checked baggage for concealed explosives. The primary detection technologies, or transportation security equipment (TSE), used by EBSP are Explosives Detection Systems (EDS) and Explosives Trace Detection (ETD).

EBSP was established to meet the congressional mandate for 100% screening of aviation-checked baggage in the National Airspace System for explosives by electronic or other approved means. This mandate was established in the 2001 Aviation and Transportation Security Act (P.L. 107-71). By utilizing screening activities that minimize the risk of personal injury or death, or

damage or loss of property due to acts of terrorism or criminal activity directed at aviation transportation, the program directly supports TSA’s goals of protecting the transportation system from dangerous people and items that threaten its security, managing risks to critical transportation infrastructure, and strengthening the TSA’s operations and management. The EBSP program ensures freedom of movement for people and commerce. This benefit to the TSA mission is achieved through a risk-based prioritized requirements methodology, and through development, testing, procurement, deployment, and lifecycle management of checked baggage TSE screening technologies. Key objectives of the program include: increasing threat detection capability, improving screening efficiency, replacing the aging fleet of EDS and ETD units, utilizing competitive procurement contracts to obtain the best value for the government, and international harmonization of screening methodologies. The primary beneficiaries of the EBSP are the traveling public; the TSA Office of Security Operations, whose staff manages the daily operations of deployed TSE; commercial airlines; and airport authorities. EBSP is currently dependent on the Department of Homeland Security Science and Technology Directorate’s Transportation Security Laboratory for certification of the screening equipment and research and development of emerging screening technologies. The TSA Security Technology Integrated Program (STIP) is being executed to enable remote maintenance and monitoring of the deployed screening equipment, as well as enabling a dynamic risk-based security capability through remote upgrades and toggling of threat detection algorithms.

The EBSP also funds the Operation Integration (OI) Division, which analyzes integration of new technologies into existing systems to ensure operational effectiveness and suitability before full system production and deployment. The purpose of this work is to test, evaluate, and analyze pre-production or production representative systems under realistic conditions, including operation by those who will use the equipment in the field in a variety of environmental conditions. The division conducts:

- Operational test and evaluation as part of the acquisition process for items procured by TSA
- Pilots, demonstrations, and field experimentation in support of mission area analyses, concept of operations development and workforce characterization

## 2. Significant Changes

As the EBSP matures and TSA begins to focus on recapitalization efforts, the request redirects \$87.8 million from the EDS Procurement and Installation PPA in FY 2013 and dedicates these resources to other program areas within the agency in order to maintain aviation security readiness and other mission-critical investment programs. .

## 3. Project Schedule

	Fiscal Quarter and Year				Total Estimated Completion Cost (\$000)	Total Project Cost (\$000)
	Work Initiated	Work Completed	Project Start	Project Complete		
(FY02-FY07) Program initiation (MNS, ConOps)	N/A	N/A	Q1 2002	Q1 2008	2,654,187	2,339,847

draft); Deployed systems for facility mods, Strategic Program Plan, & NEXGEN. Updated Strategic Plan, LCCE, CBA, Deployment Schedule; Performed program/tech mgmt, system deployment, & O&M, per deployment plan						
(FY02-FY07) Maintenance	N/A	N/A	Q1 2002	Q4 2008	691,940	647,415
(FY08) Perform program management, system deployment, O&M, and tech management utilizing strategic plan	N/A	N/A	Q1 2008	Q4 2009	536,210	528,588
(FY08) Perform operations and maintenance utilizing strategic plan	N/A	N/A	Q1 2008	Q4 2009	222,000	214,715
(FY09) Program Operations and Management and Engineering Initiatives	N/A	N/A	Q1 2009	Q4 2010	101,630	70,996
(FY09) LOI/OTA	N/A	N/A	Q1 2009	Q4 2010	282,500	257,266
(FY09) EDS Purchase and Install	N/A	N/A	Q1 2009	Q4 2010	146,600	141,486
(FY09) Maintenance	N/A	N/A	Q1 2009	Q4 2010	251,788	251,008
(FY10) Program Operations and Management & Engineering Initiatives	N/A	N/A	Q1 2010	Q4 2010	191,648	61,080
(FY10) Maintenance	N/A	N/A	Q1 2010	Q4 2010	259,425	231,363
(FY10) Purchase and Install	N/A	N/A	Q1 2010	Q4 2010	170,700	88,066
(FY10) LOI/OTA	N/A	N/A	Q1 2010	Q4 2010	223,600	201,301
(FY 10 Carryover) Program Operations and Management & Engineering Initiatives	N/A	N/A	Q1 2011	Q4 2011	0	95,246
(FY10 Carryover) Purchase and Install	N/A	N/A	Q1 2011	Q4 2011	188,300	124,125
(FY10 Carryover) LOI/OTA	N/A	N/A	Q1 2011	Q4 2011	219,700	292,677
(FY10 Carryover) Maintenance	N/A	N/A	Q1 2011	Q4 2011	0	16,646
(FY11) LOI/OTA	N/A	N/A	Q1 2011	Q4 2011	55,875	48,403
(FY11) Program Operations and Management & Engineering Initiatives	N/A	N/A	Q1 2011	Q4 2011	56,164	34,828

(FY11) EDS Purchase and Install	N/A	N/A	Q1 2011	Q4 2011	12,464	14,084
(FY11) Maintenance	N/A	N/A	Q1 2011	Q4 2011	232,729	233,879
(FY11 Carryover) LOI/OTA	N/A	N/A	Q1 2012	Q4 2012	194,125	236
(FY11 Carryover) Program Operations and Management & Engineering Initiatives	N/A	N/A	Q1 2012	Q4 2012		7,798
(FY11 Carryover) EDS Purchase and Install	N/A	N/A	Q1 2012	Q4 2012	194,125	
(FY11 Carryover) Maintenance	N/A	N/A	Q1 2012	Q4 2012		331
(FY12) Program Operations and Management & Engineering Initiatives	N/A	N/A	Q1 2012	Q4 2012	93,983	3,865
(FY12) LOI/OTA	N/A	N/A	Q1 2012	Q4 2012	12,300	
(FY12) EDS Purchase and Install	N/A	N/A	Q1 2012	Q4 2012	127,750	
(FY12) Maintenance	N/A	N/A	Q1 2012	Q4 2012	259,135	31
(FY12 Carryover) LOI/OTA	N/A	N/A	Q1 2013	Q4 2013	41,246	
(FY12 Carryover) EDS Purchase and Install	N/A	N/A	Q1 2013	Q4 2013	165,054	
(FY13) Program Operations and Management & Engineering Initiatives	N/A	N/A	Q1 2013	Q4 2013	61,686	
(FY13) LOI/OTA	N/A	N/A	Q1 2013	Q4 2013	20,250	
(FY13) EDS Purchase and Install	N/A	N/A	Q1 2013	Q4 2013	257,528	
(FY13) Maintenance	N/A	N/A	Q1 2013	Q4 2013	235.849	
Total					\$ 8,157,802	\$ 5,912,098

\*FY 2002 – FY 2013 excludes STIP and Advanced Surveillance Program (ASP)

\*FY 2011 – FY 2013 excludes Surface and Cargo

**4. Schedule of Project Funding  
(Dollars in Thousands)**

Projects (Appropriation: Aviation Security)	Prior	FY 2011	FY 2012	FY 2013	Total
Program initiation (MNS, draft ConOps); Deployed NEXGEN units; Deployed LOI systems; Developed Strategic Program Plan; Deployed NEXGEN to improve system detection capabilities and improve throughput; Expedited EDS deployment in accordance with Strategic Plan; Deployed LOI systems; Updated Strategic Plan, LCCE, CBA, Deployment Schedule	6,140,228				6,140,228
Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan; and perform operations and maintenance utilizing strategic plan.		742,793			742,793
Perform program management in accordance with the			699,468		699,468

final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing strategic plan.					
Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan, and for Recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing strategic plan.				575,313	575,313
Total Project Expenditures	6,140,228	742,793	699,468	575,313	8,157,802

\*FY02 – FY13 excludes STIP and ASP

\*FY11 – FY13 excludes Surface and Cargo

**5. Cost Estimate Detail and Changes  
(Dollars in Thousands)**

Description of Milestone	Initial Total Cost (\$mil)	Planned Total Cost (\$mil)	Actual Total Cost (\$mil)	Explanation of Difference Between Current and Previous Estimate
(FY02-FY07) Program initiation (MNS, ConOps draft); Deployed systems for facility mods, Strategic Program Plan, & NEXGEN. Updated Strategic Plan, LCCE, CBA, Deployment Schedule; Performed program/tech mgmt, system deployment, & O&M, per deployment plan. Maintained equipment	3,346,127	3,346,127	2,993,900	Airport scheduling delays slowed deployment of equipment.
(FY08) Perform program management, system deployment, O&M, tech management , and maintenance utilizing strategic plan	758,210	758,210	743,303	Airport scheduling delays slowed deployment of equipment.
(FY09) Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan; and perform operations and maintenance utilizing strategic plan.	782,518	782,518	749,115	Airport scheduling delays slowed deployment of equipment and acquisition of EDS equipment delayed due to competitive award.
(FY10) Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan; and perform operations and maintenance utilizing strategic plan.	1,253,373	1,253,373	1,110,684	Airport scheduling delays slowed deployment of equipment and acquisition of EDS equipment delayed due to competitive award.
(FY11) Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for Airport Optimal Solutions utilizing final strategic plan and for recapitalization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing strategic plan.	742,793	742,793	339,559	Airport scheduling delays slowed deployment of equipment and acquisition of EDS equipment delayed due to competitive award.
(FY12) Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for recapitalization and optimization of existing airport systems for sustained operations and compliance; and perform operations and maintenance	699,468	699,468	3,896	



utilizing strategic plan.				
(FY13) Perform program management in accordance with the final strategic plan; execute engineering initiatives for continuous quality and improvements; perform facility modification, purchase of EDS, and installation of EDS for recapitalization and optimization of existing airport systems for sustained operations and compliance; and perform operations and maintenance utilizing strategic plan.	575,313	575,313		

\*FY02 – FY13 excludes STIP and ASP

\*FY11 – FY13 excludes Surface and Cargo

## 6. Method of Performance

EBSP is currently in a “mixed” acquisition life cycle, focusing predominately on the produce/deploy/support phase of the acquisition process. Its spend plans are submitted to Congress annually.

Operational performance will be measured based on the following criteria:

- 100 percent electronic screening of checked baggage for explosives at all commercial airports nationwide
- Percent of checked baggage screened with EDS that maximize security, effectiveness, and efficiency
- Cost per bag screened
- Operational availability of baggage screening equipment

## 7. Related Annual Funding Requirements (Dollars in Thousands)

	FY 2013	
	Current Estimate	Previous Estimate
N/A (All operations and maintenance are included in program cost estimates.)	N/A	N/A
Total	N/A	N/A

## 8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2012	FY 2013
EDS/ETD Purchase & Install	440,333	339,464
Screening Technology Maintenance [& Utilities]	259,135	235,849
Total	699,468	575,313

\*FY02 – FY13 excludes STIP and ASP

\*FY11 – FY13 excludes Surface and Cargo

## **9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders**

This program is mandated under the Aviation and Transportation Security Act (P.L. 107-71) which requires 100% screening of checked baggage by EDS or an equivalent standard.

### **Initiative #2**

#### ***TSA – PASSENGER SCREENING PROGRAM (PSP)***

##### **1. Project Description, Justification and Scope**

The Passenger Screening Program (PSP) serves as the Transportation Security Administration's (TSA) Program Management Office responsible for aviation checkpoint security equipment for federalized airports. PSP's mission is to provide technologies that assist Transportation Security Officers in denying entry to potential threats directed against the air transportation network. PSP's mission aligns to TSA's mission of protecting the Nation's transportation systems to ensure the freedom of movement for people and commerce and the DHS mission of Preventing Terrorism and Enhancing Security, by embodying two associated goals into program operations: Preventing Terrorist Attacks and Managing Risks to Critical Infrastructure. PSP protects the travelling public and adapts to evolving security conditions by identifying and evaluating risks to passenger screening checkpoints and mitigating threats to infrastructure including terminals, aircraft and checkpoints. PSP consists of three security technology portfolios: people screening technologies, carry-on screening technologies and layered security technologies. Each portfolio consists of subordinate security technology projects that focus on specific threat mitigation systems. PSP-managed technologies screen over two million passengers and their carry-on items for weapons, explosives and prohibited items at approximately 450 airports nationwide each day. Program objectives include increasing detection, limiting false alarms, enhancing efficiency, consolidating equipment footprint, and centralizing results monitoring to support checkpoint staffing reductions. To realize these goals, PSP is moving from independently-functioning technologies to optimized, integrated technologies that are easier to upgrade via software upgrades. The system-of-systems security architecture will enable TSA to address both known vulnerabilities and emerging threats in the most comprehensive manner possible. PSP balances its duties with considerations such as passenger privacy, dignity, safety, and health, while maintaining affordability, deployment, maintenance and other life cycle issues. Accomplishments include the replacement of legacy systems with Advanced Imaging Technology (AIT) units and Advanced Technology (AT) X-ray systems, expanded use of Explosives Trace Detectors (ETD) and the deployment of emerging technologies such as Advanced Technology-2 (AT-2) X-ray systems, Bottled Liquids Scanners (BLS), Chemical Analysis Devices (CAD), and AIT with Automated Target Recognition (ATR).

##### **2. Significant Changes**

TSA proposes to redirect \$31.0 million from the Checkpoint Support PPA in FY 2013 and dedicate the resources to other program areas within the Agency in order to maintain aviation security readiness and other mission-critical investment programs.

### 3. Project Schedule

Projects	Fiscal Quarter and Year		Estimated Completion Cost	Total Project Cost
	Project Start	Project Complete		
Transfer from FAA (FY 2001)	1st Qtr FY2002	1st Qtr FY2002	\$0.000	\$0.000
Planning and Testing (FY 2003)	1st Qtr FY2003	4th Qtr FY2003	\$2.000	\$2.000
Procurement and Deployment (FY 2003)	1st Qtr FY2003	4th Qtr FY2003	\$30.000	\$31.326
Operations and Support (Maintenance) (FY 2003)	1st Qtr FY2003	4th Qtr FY2003	\$10.000	\$10.000
Planning and Testing (FY 2004)	1st Qtr FY2004	4th Qtr FY2004	\$2.000	\$2.000
Procurement and Deployment (FY 2004)	1st Qtr FY2004	4th Qtr FY2004	\$30.000	\$11.341
Operations and Support (Maintenance) (FY 2004)	1st Qtr FY2004	4th Qtr FY2004	\$14.200	\$14.000
Planning and Testing (FY 2005)	1st Qtr FY2005	4th Qtr FY2005	\$2.000	\$2.000
Procurement and Deployment (FY 2005)	1st Qtr FY2005	4th Qtr FY2005	\$60.517	\$51.349
Operations and Support (Maintenance) (FY 2005)	1st Qtr FY2005	4th Qtr FY2005	\$31.000	\$30.046
Planning and Testing (FY 2006)	1st Qtr FY2006	4th Qtr FY2006	\$13.416	\$13.416
Procurement and Deployment (FY 2006)	1st Qtr FY2006	4th Qtr FY2006	\$95.060	\$88.734
Operations and Support (Maintenance) (FY 2006)	1st Qtr FY2006	4th Qtr FY2006	\$35.100	\$31.538
Planning and Testing (FY 2007)	1st Qtr FY2007	4th Qtr FY2007	\$7.359	\$7.359
Procurement and Deployment (FY 2007)	1st Qtr FY2007	4th Qtr FY2007	\$114.611	\$112.803
Operations and Support (Maintenance) (FY 2007)	1st Qtr FY2007	4th Qtr FY2007	\$40.000	\$38.662
Planning and Testing (FY 2008)	1st Qtr FY2008	4th Qtr FY2008	\$8.035	\$8.035
Procurement and Deployment (FY 2008)	1st Qtr FY2008	4th Qtr FY2008	\$228.248	\$198.057
Operations and Support (Maintenance) (FY 2008)	1st Qtr FY2008	4th Qtr FY2008	\$41.263	\$41.220
Planning and Testing (FY 2009)	1st Qtr FY2009	4th Qtr FY2009	\$9.350	\$9.350
Procurement and Deployment (FY 2009)	1st Qtr FY2009	4th Qtr FY2009	\$194.801	\$200.429
Operations and Support (Maintenance) (FY 2009)	1st Qtr FY2009	4th Qtr FY2009	\$48.409	\$48.357
Personnel Cost and Benefits (FY 2009)	1st Qtr FY2009	4th Qtr FY2009	\$6.000	\$5.105
Planning and Testing (FY 2010)	1st Qtr FY2010	4th Qtr FY2010	\$26.326	\$26.875
Procurement and Deployment (FY 2010)	1st Qtr FY2010	4th Qtr FY2010	\$109.072	\$110.967
Operations and Support (Maintenance) (FY 2010)	1st Qtr FY2010	4th Qtr FY2010	\$63.125	\$62.395
Personnel Cost and Benefits (FY 2010)	1st Qtr FY2010	4th Qtr FY2010	\$5.602	\$5.185
Planning and Testing (FY 2011)	1st Qtr FY2011	4th Qtr FY2011	\$12.388	\$12.388
Procurement and Deployment (FY 2011)	1st Qtr FY2011	4th Qtr FY2011	\$305.413	\$141.201
Operations and Support (Maintenance) (FY 2011)	1st Qtr FY2011	4th Qtr FY2011	\$64.352	\$62.093
Personnel Cost and Benefits (FY 2011)	1st Qtr FY2011	4th Qtr FY2011	\$9.480	\$7.753
Planning and Testing (FY 2012)	1st Qtr FY2012	4th Qtr FY2012	\$15.447	\$0.000
Procurement and Deployment (FY 2012)	1st Qtr FY2012	4th Qtr FY2012	\$166.971	\$0.094
Operations and Support (Maintenance) (FY 2012)	1st Qtr FY2012	4th Qtr FY2012	\$61.230	\$0.000
Personnel Cost and Benefits (FY 2012)	1st Qtr FY2012	4th Qtr FY2012	\$8.092	\$2.051
Planning and Testing (FY 2013)	1st Qtr FY2013	4th Qtr FY2013	\$14.000	
Procurement and Deployment (FY 2013)	1st Qtr FY2013	4th Qtr FY2013	\$83.914	
Operations and Support (Maintenance) (FY 2013)	1st Qtr FY2013	4th Qtr FY2013	\$73.151	
Personnel Cost and Benefits (FY 2013)	1st Qtr FY2013	4th Qtr FY2013	\$9.061	
<b>TOTAL</b>			<b>\$2,050.993</b>	<b>\$1,388.129</b>

\*Excludes STIP and ASP

**4. Schedule of Project Funding  
(Dollars in Thousands)**

	<b>Prior</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>Total</b>
<b>Projects (Appropriation: Aviation Security)</b>					
Transfer from FAA	-	-	-	-	-
Planning and Testing	70,486	12,388	15,447	14,000	112,321
Procurement and Deployment	862,309	305,413	166,971	83,914	1,418,607
Operations and Support (Maintenance)	283,097	64,352	61,230	73,151	481,830
Personnel Cost and Benefits	11,602	9,480	8,092	9,061	38,235
<b>Total Project Expenditures</b>	<b>1,227,494</b>	<b>391,633</b>	<b>251,740</b>	<b>180,126</b>	<b>2,050,993</b>

\*Excludes STIP and ASP

**5. Cost Estimate Detail and Changes  
(Dollars in Thousands)**

<b>Description of Milestone</b>	<b>Planned Total Cost (\$mil)</b>	<b>Actual Total Cost (\$mil)</b>	<b>Explanation of Difference</b>
Procurement and Deployment (FY2006)	95,060	88,733	Program received quantity discount and awards lower than estimate
Procurement and Deployment (FY2008)	228,248	198,057	Funding still planned for obligations
Procurement and Deployment (FY2011)	305,413	141,201	Funding still planned for obligations

\* Only significant differences are listed

\*\*Excludes STIP and ASP

**6. Method of Performance**

Expenditures are approved based on an overall strategic plan that is submitted to Congress annually.

Operational performance will be measured based on the following criteria:

- Percent of airports with Bottled Liquids Scanner coverage
- Percent of Advanced Imaging Technology machines deployed according to the deployment plan
- Operational availability for passenger screening equipment

**7. Related Annual Funding Requirements**

(Dollars in Thousands)

	FY 2012	
	Current Estimate	Previous Estimate
N/A (All operations and maintenance are included in program cost estimates.)	N/A	N/A
<b>Total</b>	<b>N/A</b>	<b>N/A</b>

### 8. Budget Allocation to Programs

Program	Allocated Budget (\$000)	
	FY 2012	FY 2013
Checkpoint Support*	190,510	106,975
Screening Technology Maintenance and Utilities**	61,230	73,151
<b>Total</b>	<b>251,740</b>	<b>180,126</b>

\*Excludes STIP and ASP

\*\* Screening technology maintenance and utilities were combined to one PPA in FY 2008

### 9. Compliance with applicable Public Laws, Regulations, Standards and Executive Orders

This program is mandated under the Aviation Transportation and Security Act of 2001 (P.L. 107-71), which requires screening of all passengers and property including carry-on baggage and other articles that will be carried aboard a passenger aircraft.

## H. PPA Budget Justifications

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screening Partnership Program  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	31	35	33	(2)
25.2 Other services	153,164	144,061	143,060	(1,001)
25.3 Purchases from Gov't accts.	1	1	1	-
26.0 Supplies and materials	92	95	95	-
31.0 Equipment	1	1	1	-
<b>Total, Other Object Classes</b>	<b>153,289</b>	<b>144,193</b>	<b>143,190</b>	<b>(1,003)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>153,289</b>	<b>144,193</b>	<b>143,190</b>	<b>(1,003)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Screening Partnership Program Mission Statement

The Screening Partnership Program (SPP) allows an airport operator to submit an application to have screening carried out by a qualified private screening company. The contractor must perform under federal oversight and the contracted screeners must perform at the same or at a higher performance levels as federal TSOs.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$31</b>	<b>\$35</b>	<b>\$33</b>	<b>-\$2</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a \$2,000 decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$153,164</b>	<b>\$144,061</b>	<b>\$143,060</b>	<b>-\$1,001</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 reflects a \$1.001M reduction associated with operational support and other management efficiencies.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screener PC&B**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,580,652	1,633,396	1,703,210	69,814
11.3 Other than full-time permanent	284,556	285,000	285,000	-
11.5 Other personnel compensation	163,015	165,000	165,000	-
11.6 Pay Diff (Sun/Night)	71,077	70,000	69,244	(756)
11.7 Military personnel/Awards	83,365	85,000	85,000	-
12.1 Benefits	773,693	785,000	797,835	12,835
13.0 Unemployment Compensation	690	525	525	-
<b>Total, Personnel and Compensation Benefits</b>	<b>2,957,048</b>	<b>3,023,921</b>	<b>3,105,814</b>	<b>81,893</b>
<b>Other Object Classes</b>	-	-	-	-
25.3 Purchases from Gov't accts.	50	50	50	-
42.0 Insurance Claims and Indemnity	1,818	1,800	1,785	(15)
<b>Total, Other Object Classes</b>	<b>1,868</b>	<b>1,850</b>	<b>1,835</b>	<b>(15)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,958,916</b>	<b>3,025,771</b>	<b>3,107,649</b>	<b>81,878</b>
<b>Full Time Equivalents</b>	<b>46,413</b>	<b>47,245</b>	<b>48,356</b>	<b>1,111</b>

**Screener PC&B Mission Statement**

This PPA funds Personnel Compensation and Benefits costs for all Transportation Security Officer (TSO) positions as well as Worker's Compensation Payments

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,580,652	1,633,396	1,703,210	69,814
11.3 Other than full-time permanent	284,556	285,000	285,000	-
11.5 Other personnel compensation	163,015	165,000	165,000	-
11.6 Pay Diff (Sun/Night)	71,077	70,000	69,244	(756)
11.7 Military personnel/Awards	83,365	85,000	85,000	-
12.1 Benefits	773,693	785,000	797,835	12,835
13.0 Unemployment Compensation	690	525	525	-
<b>Total, Salaries &amp; Benefits</b>	<b>2,957,048</b>	<b>3,023,921</b>	<b>3,105,814</b>	<b>81,893</b>

Salaries and Benefits includes costs for 48,356 FTEs. The FY 2013 request includes an adjustment to base for annualization of FTE associated with AIT deployment and BDOs. The FY 2013 request also reflects a \$756,000 decrease in overtime in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
42.0 Insurance Claims and Indemnity	\$1,818	\$1,800	\$1,785	-\$15

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2013 request includes a \$15,000 management adjustment.



**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screening Training and Other  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	6,550	4,719	6,033	1,314
11.5 Other personnel compensation	6	5	6	1
11.6 Pay Diff (Sun/Night)	19	15	15	-
11.7 Military personnel/Awards	108	47	63	16
12.1 Benefits	1,842	1,285	1,400	115
<b>Total, Personnel and Compensation Benefits</b>	<b>8,525</b>	<b>6,071</b>	<b>7,517</b>	<b>1,446</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	43,272	40,000	38,088	(1,912)
22.0 Transportation of things	40	40	40	-
23.1 GSA rent	318	325	325	-
23.2 Other rent	126	130	130	-
23.3 Communications, utilities, and misc. charges	132	135	135	-
24.0 Printing	388	250	225	(25)
25.1 Advisory and assistance services	21,426	30,000	25,000	(5,000)
25.2 Other services	80,699	90,000	70,707	(19,293)
25.3 Purchases from Gov't accts.	8,309	10,000	10,000	-
25.4 O&M of facilities	9,470	10,000	10,000	-
25.6 Medical care	17	17	17	-
25.7 Operation and maintenance of equipment	38	40	40	-
26.0 Supplies and materials	46,831	53,000	53,000	-
31.0 Equipment	8,363	9,000	9,000	-
32.0 Land & structures	3	3	3	-
42.0 Insurance Claims and Indemnity	785	785	785	-
<b>Total, Other Object Classes</b>	<b>220,217</b>	<b>243,725</b>	<b>217,495</b>	<b>(26,230)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>228,742</b>	<b>249,796</b>	<b>225,012</b>	<b>(24,784)</b>
<b>Full Time Equivalents</b>	<b>67</b>	<b>47</b>	<b>64</b>	<b>17</b>

**Screening Training and Other Mission Statement**

Provides the ATSA mandated and discretionary training to new TSO hires and the recurrent training of the TSO workforce.  
Provides all the operational support, such as consumables; uniforms; supplies; claims; etc. to maintain the TSO workforce.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	6,550	4,719	6,033	1,314
11.5 Other personnel compensation	6	5	6	1
11.6 Pay Diff (Sun/Night)	19	15	15	-
11.7 Military personnel/Awards	108	47	63	16
12.1 Benefits	1,842	1,285	1,400	115
<b>Total, Salaries &amp; Benefits</b>	<b>8,525</b>	<b>6,071</b>	<b>7,517</b>	<b>1,446</b>

Salaries and Benefits includes costs for 64 FTEs. The FY 2013 increase represents the realignment of funds within this PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$43,272</b>	<b>\$40,000</b>	<b>\$38,088</b>	<b>-\$1,912</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a \$1,912,000 decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$388</b>	<b>\$250</b>	<b>\$225</b>	<b>-\$25</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. FY 2013 decrease represents realignment of funds and efficiencies realized.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$21,426</b>	<b>\$30,000</b>	<b>\$25,000</b>	<b>-\$5,000</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a \$1,331,000 decrease in accordance with Enterprise-Wide efficiencies, \$669 in other efficiencies, and a realignment of funds within the PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$80,699</b>	<b>\$90,000</b>	<b>\$70,707</b>	<b>-\$19,293</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects a \$1,379,000 decrease in accordance with Enterprise-Wide efficiencies and realignment of funds and efficiencies realized.

**Department of Homeland Security**  
**Transportation Security Administration**  
**Aviation Security:**  
**Checkpoint Support**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	6,279	6,568	7,340	772
11.3 Other than full-time permanent	18	-	-	-
11.5 Other personnel compensation	1	-	-	-
11.6 Pay Diff (Sun/Night)	4	4	4	-
11.7 Military personnel/Awards	80	80	80	-
12.1 Benefits	1,677	1,748	1,951	203
<b>Total, Personnel and Compensation Benefits</b>	<b>8,059</b>	<b>8,400</b>	<b>9,375</b>	<b>975</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	606	703	635	(68)
22.0 Transportation of things	23	-	-	-
23.2 Other rent	114	-	1,500	1,500
23.3 Communications, utilities, and misc. charges	72	-	-	-
24.0 Printing	1	-	-	-
25.1 Advisory and assistance services	137,524	121,687	81,537	(40,150)
25.2 Other services	4,178	-	-	-
25.3 Purchases from Gov't accts.	98	-	-	-
25.4 O&M of facilities	605	823	850	27
25.7 Operation and maintenance of equipment	250	-	-	-
25.8 Subsistence & Support of persons	1,044	1,500	-	(1,500)
26.0 Supplies and materials	135	29	30	1
31.0 Equipment	87,623	71,626	26,312	(45,314)
<b>Total, Other Object Classes</b>	<b>232,273</b>	<b>196,368</b>	<b>110,864</b>	<b>(85,504)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>240,332</b>	<b>204,768</b>	<b>120,239</b>	<b>(84,529)</b>
<b>Full Time Equivalents</b>	<b>54</b>	<b>52</b>	<b>59</b>	<b>7</b>

**Checkpoint Support Mission Statement**

The Checkpoint Support PPA provides the resources required to deploy passenger screening, carry-on baggage screening and electronic surveillance equipment. This equipment is a vital component of TSA's efforts to secure our nation's air transportation.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	6,279	6,568	7,340	772
11.3 Other than full-time permanent	18	-	-	-
11.5 Other personnel compensation	1	-	-	-
11.6 Pay Diff (Sun/Night)	4	4	4	-
11.7 Military personnel/Awards	80	80	80	-
12.1 Benefits	1,677	1,748	1,951	203
<b>Total, Salaries &amp; Benefits</b>	<b>8,059</b>	<b>8,400</b>	<b>9,375</b>	<b>975</b>

Salaries and Benefits includes personnel and compensation costs for 59 FTEs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$606</b>	<b>\$703</b>	<b>\$635</b>	<b>-\$68</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a \$68,000 decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$114</b>	<b>0</b>	<b>\$1,500</b>	<b>\$1,500</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request reflects \$1,500,000 for warehouse rent.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$137,524</b>	<b>\$121,687</b>	<b>\$81,537</b>	<b>-\$40,150</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a smaller base amount of equipment funded and the change in support services needed to deploy them along with a \$10,719,000 decrease related to Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.4 O&amp;M of facilities</b>	<b>\$605</b>	<b>\$823</b>	<b>\$850</b>	<b>\$27</b>

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request includes funding for warehouse operations and facilities for security equipment.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.8 Subsistence &amp; Support of persons</b>	<b>\$1,044</b>	<b>\$1,500</b>	<b>0</b>	<b>-\$1,500</b>

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. No funds are requested for this activity in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$135</b>	<b>\$29</b>	<b>\$30</b>	<b>\$1</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$87,623</b>	<b>\$71,626</b>	<b>\$26,312</b>	<b>-\$45,314</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request includes funding to support the purchase of screening equipment at a lower base level.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
EDS Procurement and Installation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	13,747	14,654	14,868	214
11.3 Other than full-time permanent	294	38	39	1
11.6 Pay Diff (Sun/Night)	1	1	1	-
11.7 Military personnel/Awards	153	145	147	2
12.1 Benefits	3,894	3,662	3,716	54
<b>Total, Personnel and Compensation Benefits</b>	<b>18,089</b>	<b>18,500</b>	<b>18,771</b>	<b>271</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	729	729	660	(69)
23.2 Other rent	545	586	1,586	1,000
23.3 Communications, utilities, and misc. charges	73	403	403	-
24.0 Printing	1	-	-	-
25.1 Advisory and assistance services	441,965	148,172	95,899	(52,273)
25.2 Other services	20,256	18	-	(18)
25.3 Purchases from Gov't accts.	117	-	-	-
25.4 O&M of facilities	782	-	-	-
25.7 Operation and maintenance of equipment	1,273	-	-	-
25.8 Subsistence & Support of persons	2,826	-	-	-
26.0 Supplies and materials	113	30	30	-
31.0 Equipment	108,882	54,300	-	(54,300)
<b>Total, Other Object Classes</b>	<b>577,562</b>	<b>204,238</b>	<b>98,578</b>	<b>(105,660)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>595,651</b>	<b>222,738</b>	<b>117,349</b>	<b>(105,389)</b>
<b>Full Time Equivalents</b>	<b>119</b>	<b>114</b>	<b>116</b>	<b>2</b>

**EDS Procurement and Installation Mission Statement**

EDS Procurement and Installation funds the purchase of electronic baggage screening equipment for deployment and the installation of electronic baggage screening equipment in the Nation's airports. The deployment of this equipment is a key component of TSA's ability to ensure the security of the air transportation system. Installation is an integral cost associated with the deployment of equipment that enhances the security of the air transportation system.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	13,747	14,654	14,868	214
11.3 Other than full-time permanent	294	38	39	1
11.6 Pay Diff (Sun/Night)	1	1	1	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	13,747	14,654	14,868	214
11.7 Military personnel/Awards	153	145	147	2
12.1 Benefits	3,894	3,662	3,716	54
<b>Total, Salaries &amp; Benefits</b>	<b>18,089</b>	<b>18,500</b>	<b>18,771</b>	<b>271</b>

Salaries and Benefits includes personnel and compensation costs for 116 FTEs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$729	\$729	\$660	-\$69

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a \$69,000 decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$545	\$586	\$1,586	\$1,000

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request reflects \$1,586,000 for warehouse rent.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$441,965	\$148,172	\$95,899	-\$52,273

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request includes a portion of installation efforts being funded from the Aviation Security Capital Fund (ASCF). The FY 2013 request includes a \$13,145,000 decrease related to Enterprise-Wide efficiencies and reflects lower equipment purchases at a lower base level of funds.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$20,256	\$18	0	-\$18

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes an \$18,000 decrease related to Enterprise-Wide efficiencies. No funds are requested for this activity in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$108,882	\$54,300	0	-\$54,300

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects a decrease in this activity as the Aviation Security Capital Fund will fund equipment purchases and installations in addition to facility modifications as stated in the FY 2012 enacted Appropriations Bill.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Screening Technology Maintenance  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	52	70	64	(6)
23.1 GSA rent	411	-	-	-
23.3 Communications, utilities, and misc. charges	7,267	-	-	-
25.1 Advisory and assistance services	4,066	3,850	2,283	(1,567)
25.2 Other services	-	10	3	(7)
25.7 Operation and maintenance of equipment	310,310	316,430	306,645	(9,785)
25.8 Subsistence & Support of persons	448	-	-	-
26.0 Supplies and materials	1	5	5	-
<b>Total, Other Object Classes</b>	<b>322,555</b>	<b>320,365</b>	<b>309,000</b>	<b>(11,365)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>322,555</b>	<b>320,365</b>	<b>309,000</b>	<b>(11,365)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Screening Technology Maintenance Mission Statement**

Screening Technology Maintenance funds the maintenance of passenger and baggage screening equipment in the Nation's airports. This funding is essential to ensure that all security screening equipment is operationally ready and supportable over its anticipated lifetime.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$52</b>	<b>\$70</b>	<b>\$64</b>	<b>-\$6</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a \$6,000 decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$4,066</b>	<b>\$3,850</b>	<b>\$2,283</b>	<b>-\$1,567</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a \$1,567,000 decrease in accordance with Enterprise-Wide efficiencies and maintenance contract efficiencies.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$10	\$3	-\$7

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects a \$7,000 decrease in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$310,310	\$316,430	\$306,645	-\$9,785

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a decrease in maintenance contracts for checked baggage screening equipment and checkpoint screening equipment due to maintenance contract efficiencies.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Operation Integration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	3	-	-	-
25.1 Advisory and assistance services	15,268	-	-	-
25.3 Purchases from Gov't accts.	14,000	-	-	-
<b>Total, Other Object Classes</b>	<b>29,271</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>29,271</b>	-	-	-
<b>Full Time Equivalents</b>	-	-	-	-

**Operation Integration Mission Statement**

Operation Integration supported efforts to develop technology requirements and perform operational integration on new security equipment, including passenger, baggage, and cargo screening equipment, infrastructure security systems and conveyance security technologies. In FY 2012, these program functions were be absorbed by other PPAs. No funds are requested in this PPA in FY 2012 or FY 2013.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$15,268	0	0	0

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. No funds are requested for this PPA in FY 2013.

**Department of Homeland Security**  
**Transportation Security Administration**  
**Aviation Security:**  
**Aviation Regulation and Other Enforcement**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	100,927	136,867	167,068	30,201
11.3 Other than full-time permanent	134	135	135	-
11.5 Other personnel compensation	2,081	2,500	2,500	-
11.6 Pay Diff (Sun/Night)	3,615	3,750	3,750	-
11.7 Military personnel/Awards	2,129	1,340	1,510	170
11.8 Special Service Pay	1,518	1,500	1,500	-
12.1 Benefits	36,326	49,000	53,971	4,971
13.0 Unemployment Compensation	122	125	125	-
<b>Total, Personnel and Compensation Benefits</b>	<b>146,852</b>	<b>195,217</b>	<b>230,559</b>	<b>35,342</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	13,539	15,000	11,800	(3,200)
22.0 Transportation of things	208	210	210	-
23.1 GSA rent	320	525	600	75
23.2 Other rent	169	175	175	-
23.3 Communications, utilities, and misc. charges	1,175	1,350	1,400	50
24.0 Printing	62	60	60	-
25.1 Advisory and assistance services	1,630	7,500	2,000	(5,500)
25.2 Other services	6,436	20,000	12,069	(7,931)
25.3 Purchases from Gov't accts.	16,287	21,992	16,000	(5,992)
25.4 O&M of facilities	1	5	5	-
25.6 Medical care	41	45	50	5
25.7 Operation and maintenance of equipment	286	300	325	25
26.0 Supplies and materials	2,452	7,500	9,800	2,300
31.0 Equipment	6,168	10,000	7,500	(2,500)
41.0 Grants/Subsidies/Contributions	80,497	90,000	79,331	(10,669)
42.0 Insurance Claims and Indemnity	105	105	105	-
<b>Total, Other Object Classes</b>	<b>129,376</b>	<b>174,767</b>	<b>141,430</b>	<b>(33,337)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>276,228</b>	<b>369,984</b>	<b>371,989</b>	<b>2,005</b>
<b>Full Time Equivalents</b>	<b>1,118</b>	<b>1,482</b>	<b>1,662</b>	<b>180</b>

**Aviation Regulation and Other Enforcement Mission Statement**

The purpose of Aviation Regulation and Other Enforcement is to provide activities that ensure that TSA continues to build a strong security regulation and enforcement presence on-site at the nation's commercial airports. Funding requested under this decision unit supports airport regulation compliance through domestic and international inspections, K-9 units, international outreach programs to ensure alignment and consistency in security requirements of the United States and those of the other nations to ensure transportation system integrity; and reimbursements provided to State and local law enforcement for support provided at commercial airport checkpoints.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	100,927	136,867	167,068	30,201
11.3 Other than full-time permanent	134	135	135	-
11.5 Other personnel compensation	2,081	2,500	2,500	-
11.6 Pay Diff (Sun/Night)	3,615	3,750	3,750	-
11.7 Military personnel/Awards	2,129	1,340	1,510	170
11.8 Special Service Pay	1,518	1,500	1,500	-
12.1 Benefits	36,326	49,000	53,971	4,971
13.0 Unemployment Compensation	122	125	125	-
<b>Total, Salaries &amp; Benefits</b>	<b>146,852</b>	<b>195,217</b>	<b>230,559</b>	<b>35,342</b>

Salaries and Benefits includes costs for 1,662 FTE. The FY 2013 request annualization of prior year increases for VIPR, canines, and International air cargo security enhancement funding and a \$41,000 reduction associated with enterprise-wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$13,539</b>	<b>\$15,000</b>	<b>\$11,800</b>	<b>-\$3,200</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a \$372,000 decrease in travel in accordance with Enterprise-Wide efficiencies and offsetting increases resulting from annualization of prior year part year funding.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$320</b>	<b>\$525</b>	<b>\$600</b>	<b>\$75</b>

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request increases related to annualizations of prior-year program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$1,175</b>	<b>\$1,350</b>	<b>\$1,400</b>	<b>\$50</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request increases related to annualizations of prior-year program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$1,630</b>	<b>\$7,500</b>	<b>\$2,000</b>	<b>-\$5,500</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request includes adjustments to base, transfers, realignments and program changes.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$6,436	\$20,000	\$12,069	-\$7,931

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects a \$185,000 decrease in accordance with Enterprise-Wide efficiencies as well as adjustments to base, transfers, realignments and program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$16,287	\$21,992	\$16,000	-\$5,992

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes adjustments to base, transfers, realignments and program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$41	\$45	\$50	\$5

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2013 request increases related to annualizations of prior-year program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$286	\$300	\$325	\$25

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request increases related to annualizations of prior-year program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$2,452	\$7,500	\$9,800	\$2,300

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request increases related to annualizations of prior-year program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$6,168	\$10,000	\$7,500	-\$2,500

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request includes decreases associated with management adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>\$80,497</b>	<b>\$90,000</b>	<b>\$79,331</b>	<b>-\$10,669</b>

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. FY13 decrease is associated with a reduction of Law Enforcement Cooperative Agreements and other management adjustments based on FY11 Actuals.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Airport Management and Support  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	206,570	237,906	243,278	5,372
11.3 Other than full-time permanent	465	500	500	-
11.5 Other personnel compensation	1,312	1,500	1,500	-
11.6 Pay Diff (Sun/Night)	2,383	2,000	2,000	-
11.7 Military personnel/Awards	5,461	2,625	2,800	175
12.1 Benefits	76,029	93,033	96,177	3,144
13.0 Unemployment Compensation	66	75	75	-
<b>Total, Personnel and Compensation Benefits</b>	<b>292,286</b>	<b>337,639</b>	<b>346,330</b>	<b>8,691</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	10,507	10,500	10,500	-
22.0 Transportation of things	527	525	525	-
23.1 GSA rent	106,673	118,000	119,198	1,198
23.2 Other rent	7,980	10,000	10,000	-
23.3 Communications, utilities, and misc. charges	3,608	3,750	3,850	100
24.0 Printing	193	150	150	-
25.1 Advisory and assistance services	8,804	8,500	8,500	-
25.2 Other services	15,130	32,992	24,617	(8,375)
25.3 Purchases from Gov't accts.	7,512	8,500	7,525	(975)
25.4 O&M of facilities	3,982	4,000	4,250	250
25.6 Medical care	21	25	25	-
25.7 Operation and maintenance of equipment	395	500	500	-
26.0 Supplies and materials	9,491	12,000	12,000	-
31.0 Equipment	13,050	13,100	13,100	-
32.0 Land & structures	8,468	10,000	8,500	(1,500)
42.0 Insurance Claims and Indemnity	45	45	45	-
<b>Total, Other Object Classes</b>	<b>196,386</b>	<b>232,587</b>	<b>223,285</b>	<b>(9,302)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>488,672</b>	<b>570,226</b>	<b>569,615</b>	<b>(611)</b>
<b>Full Time Equivalents</b>	<b>2,313</b>	<b>2,974</b>	<b>3,022</b>	<b>48</b>

**Airport Management and Support Mission Statement**

Airport Management and Support provides funding for each Federal Security Director and staff at each hub airport along with the headquarters personnel who direct the policy, analysis, and the administration of aviation screening and airport security. In addition, this PPA supports aviation functions at TSA's Transportation Security Operations Center. These offices and positions are critical to supporting the front-line operations of our TSOs.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	206,570	237,906	243,278	5,372
11.3 Other than full-time permanent	465	500	500	-
11.5 Other personnel compensation	1,312	1,500	1,500	-
11.6 Pay Diff (Sun/Night)	2,383	2,000	2,000	-
11.7 Military personnel/Awards	5,461	2,625	2,800	175
12.1 Benefits	76,029	93,033	96,177	3,144
13.0 Unemployment Compensation	66	75	75	-
<b>Total, Salaries &amp; Benefits</b>	<b>292,286</b>	<b>337,639</b>	<b>346,330</b>	<b>8,691</b>

Salaries and Benefits includes costs for 3,022 FTEs. The FY 2013 request reflects the program changes and correlating FTE. The FY 2013 request reflects a \$26,000 decrease for overtime in accordance with Enterprise-Wide efficiencies and an increase for staffing relating to additional AIT machines.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$106,673	\$118,000	\$119,198	\$1,198

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request reflects the costs associated with annualization of prior-year increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$3,608	\$3,750	\$3,850	\$100

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request includes increases for annualization of prior-year program increases.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$15,130	\$32,992	\$24,617	-\$8,375

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes adjustments to base, transfers, realignments and program changes.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$7,512	\$8,500	\$7,525	-\$975

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes adjustments to base, transfers, realignments and program changes.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$3,982	\$4,000	\$4,250	\$250

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request includes adjustments to base, transfers, realignments and program changes.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$8,468	\$10,000	\$8,500	-\$1,500

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2013 request includes decreases associated with management adjustments based on FY 2011 actuals.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
FFDO and Flight Crew Training  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,853	3,835	3,854	19
11.3 Other than full-time permanent	-	12	12	-
11.5 Other personnel compensation	422	594	594	-
11.6 Pay Diff (Sun/Night)	3	-	-	-
12.1 Benefits	1,214	1,618	1,618	-
<b>Total, Personnel and Compensation Benefits</b>	<b>4,492</b>	<b>6,059</b>	<b>6,078</b>	<b>19</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	172	193	64	(129)
22.0 Transportation of things	50	25	8	(17)
23.2 Other rent	463	44	15	(29)
23.3 Communications, utilities, and misc. charges	-	1	-	(1)
24.0 Printing	-	10	3	(7)
25.1 Advisory and assistance services	9,717	1,808	600	(1,208)
25.2 Other services	3,178	13,612	4,500	(9,112)
25.3 Purchases from Gov't accts.	1,242	236	78	(158)
25.4 O&M of facilities	1,134	-	-	-
25.7 Operation and maintenance of equipment	-	1,524	506	(1,018)
26.0 Supplies and materials	2,668	1,674	557	(1,117)
31.0 Equipment	402	275	91	(184)
<b>Total, Other Object Classes</b>	<b>19,026</b>	<b>19,402</b>	<b>6,422</b>	<b>(12,980)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>23,518</b>	<b>25,461</b>	<b>12,500</b>	<b>(12,961)</b>
<b>Full Time Equivalents</b>	<b>29</b>	<b>42</b>	<b>42</b>	-

**FFDO and Flight Crew Training Mission Statement**

TSA provides the Federal Flight Deck Officer (FFDO) and Flight Crew Training programs to deputize qualified airline pilots as federal law enforcement officers and to train flight crew members to defend the flight decks and cabins of aircrafts against acts of criminal violence or air piracy. This voluntary program provides training in firearms proficiency, self-defense tactics, authorities, and decision-making to defend the cockpit.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,853	3,835	3,854	19
11.3 Other than full-time permanent	-	12	12	-
11.5 Other personnel compensation	422	594	594	-
11.6 Pay Diff (Sun/Night)	3	-	-	-
12.1 Benefits	1,214	1,618	1,618	-
<b>Total, Salaries &amp; Benefits</b>	<b>4,492</b>	<b>6,059</b>	<b>6,078</b>	<b>19</b>

Salaries and Benefits includes costs for 42 FTEs. The FY 2013 request includes a pay COLA increase of \$23,000 as well as a decrease of \$4,000 for overtime cost efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$172</b>	<b>\$193</b>	<b>\$64</b>	<b>-\$129</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a decrease of \$9,000 for travel efficiencies as well as a program efficiency of \$120,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$50</b>	<b>\$25</b>	<b>\$8</b>	<b>-\$17</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 request includes a program efficiency of \$17,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$463</b>	<b>\$44</b>	<b>\$15</b>	<b>-\$29</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request includes a program efficiency of \$29,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>0</b>	<b>\$1</b>	<b>0</b>	<b>-\$1</b>

The FY 2013 request includes a program efficiency of \$1,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>0</b>	<b>\$10</b>	<b>\$3</b>	<b>-\$7</b>

The FY 2013 request includes a program efficiency of \$7,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$9,717	\$1,808	\$600	-\$1,208

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request includes a program efficiency of \$1,208,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$3,178	\$13,612	\$4,500	-\$9,112

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes a program efficiency of \$9,112,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,242	\$236	\$78	-\$158

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes a program efficiency of \$158,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	\$1,524	\$506	-\$1,018

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a program efficiency of \$1,018,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$2,668	\$1,674	\$557	-\$1,117

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request includes a program efficiency of \$1,117,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$402	\$275	\$91	-\$184

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request includes a program efficiency of \$184,000.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Air Cargo**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	58,369	61,352	63,579	2,227
11.5 Other personnel compensation	2,418	2,542	2,634	92
11.6 Pay Diff (Sun/Night)	2,180	2,291	2,374	83
11.7 Military personnel/Awards	1,318	1,385	1,435	50
12.1 Benefits	18,657	19,610	20,322	712
13.0 Unemployment Compensation	5	5	5	-
<b>Total, Personnel and Compensation Benefits</b>	<b>82,947</b>	<b>87,185</b>	<b>90,349</b>	<b>3,164</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5,681	6,107	6,107	-
22.0 Transportation of things	23	-	-	-
23.1 GSA rent	100	161	153	(8)
23.2 Other rent	69	98	93	(5)
23.3 Communications, utilities, and misc. charges	164	96	91	(5)
24.0 Printing	10	11	10	(1)
25.1 Advisory and assistance services	28,792	10,798	9,405	(1,393)
25.2 Other services	3,399	3,199	3,034	(165)
25.3 Purchases from Gov't accts.	961	345	327	(18)
25.4 O&M of facilities	6	-	-	-
25.6 Medical care	132	135	128	(7)
25.7 Operation and maintenance of equipment	125	127	120	(7)
26.0 Supplies and materials	1,460	1,213	1,151	(62)
31.0 Equipment	981	1,000	949	(51)
41.0 Grants/Subsidies/Contributions	7,757	10,179	10,179	-
<b>Total, Other Object Classes</b>	<b>49,660</b>	<b>33,469</b>	<b>31,747</b>	<b>(1,722)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>132,607</b>	<b>120,654</b>	<b>122,096</b>	<b>1,442</b>
<b>Full Time Equivalents</b>	<b>706</b>	<b>749</b>	<b>767</b>	<b>18</b>

**Air Cargo Mission Statement**

The Air Cargo program operates through compliance activities, regulatory efforts, outreach initiatives, and technology implementation. TSA uses a threat-based risk management approach based on two threats: 1) introduction of an explosive device on a passenger aircraft, and 2) the hijacking of an all-cargo aircraft resulting in its use as a weapon of mass destruction.

## Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	58,369	61,352	63,579	2,227
11.5 Other personnel compensation	2,418	2,542	2,634	92
11.6 Pay Diff (Sun/Night)	2,180	2,291	2,374	83
11.7 Military personnel/Awards	1,318	1,385	1,435	50
12.1 Benefits	18,657	19,610	20,322	712
13.0 Unemployment Compensation	5	5	5	-
<b>Total, Salaries &amp; Benefits</b>	<b>82,947</b>	<b>87,185</b>	<b>90,349</b>	<b>3,164</b>

The FY 2013 request reflects an increase of \$3,164,000. This increase includes pay COLA, annualization of FY 2012 Inspectors, and a \$24,000 reduction for Enterprise Wide Efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$100	\$161	\$153	-\$8

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request includes a program efficiency of \$8,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$69	\$98	\$93	-\$5

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request includes a program efficiency of \$5,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$164	\$96	\$91	-\$5

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request includes a program efficiency of \$5,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$10	\$11	\$10	-\$1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The printing provides educational materials, training aids, and regulatory guidance. The FY 2013 request includes a program efficiency of \$1,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$28,792	\$10,798	\$9,405	-\$1,393

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. These

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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services support the Air Cargo Systems development, operation, and support Known Shipper Management System, Indirect Air Carrier Management System and Air Cargo Risk Based Targeting. The FY 2013 request includes a program efficiency of \$1,393,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$3,399	\$3,199	\$3,034	-\$165

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes a program efficiency of \$165,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$961	\$345	\$327	-\$18

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes a program efficiency of \$18,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$132	\$135	\$128	-\$7

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2013 request includes a program efficiency of \$7,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$125	\$127	\$120	-\$7

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a program efficiency of \$7,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$1,460	\$1,213	\$1,151	-\$62

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request includes a program efficiency of \$62,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$981	\$1,000	\$949	-\$51

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request includes a program efficiency of \$51,000.

**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Aviation Security Capital Fund:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Other Object Classes</b>	-	-	-	-
25.1 Advisory and assistance services	59,477	103,700	66,100	(37,600)
25.2 Other services	1,512	-	-	-
31.0 Equipment	-	146,300	183,900	37,600
<b>Total, Other Object Classes</b>	<b>60,989</b>	<b>250,000</b>	<b>250,000</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>60,989</b>	<b>250,000</b>	<b>250,000</b>	-
<b>Full Time Equivalents</b>	-	-	-	-

**Aviation Security Capital Fund: Mission Statement**

The Aviation Security Capital Fund was extended by the 9/11 Bill and is authorized through 2028. The Aviation Security Capital Fund supports the installation of optimal screening systems at airports and, with the enactment of the FY 2012 Appropriations Bill, funds equipment purchases and installation.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$59,477	\$103,700	\$66,100	-\$37,600

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. As provided in the FY 2012 Appropriations Bill, the Aviation Security Capital Fund can be used for equipment purchases and installations as well as facility modifications. Funding in Advisory and Assistance Services is used to fund equipment installation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	0	\$146,300	\$183,900	\$37,600

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. As provided in the FY 2012 Appropriations Bill, the Aviation Security Capital Fund can be used for equipment purchases and installations as well as facility modifications. Funds are requested in FY 2013 for equipment purchase.



**Department of Homeland Security  
Transportation Security Administration  
Aviation Security:  
Indirect Air Cargo - Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	23	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>23</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.1 Advisory and assistance services	484	-	-	-
<b>Total, Other Object Classes</b>	<b>484</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>507</b>	-	-	-
<b>Full Time Equivalents</b>	-	-	-	-

**Indirect Air Cargo Fee**

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	23	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>23</b>	-	-	-

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>48,478</b>	<b>50,819</b>	<b>52,705</b>
<b>Increases</b>			
Annualization of Prior Year Increases	-	-	684
Realignment of FTE and Other Adjustments to Base	-	-	669
Other Adjustments Related to Attrition and Hiring Fluctuations	2,341	1,886	-
Transfer of Resources from Other Appropriations to Aviation	-	-	14
Balanced Workforce Follow-on/Conversion	-	-	16
<b>Subtotal, Increases</b>	<b>2,341</b>	<b>1,886</b>	<b>1,383</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>50,819</b>	<b>52,705</b>	<b>54,088</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>2,341</b>	<b>1,886</b>	<b>1,383</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Screening Training and Other	\$7,000	\$3,718	\$3,717	-\$1
FFDO and Flight Crew Training	72	71	71	0
<b>Total Working Capital Fund</b>	<b>7,072</b>	<b>3,789</b>	<b>3,788</b>	<b>-1</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

TRANSPORTATION SECURITY ADMINISTRATION requests \$0 and 16 FTE for the FY 2013 DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Pres. Budget		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Program Analyst	-	-	-	-	-	-	-	-	16	16	16	16
	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total</b>	-	-	-	-	-	-	-	-	-	-	<b>16</b>	<b>15</b>

**FY 2013 DHS Balanced Workforce Strategy**

Not Applicable

**Annualization of FY 2012 DHS Balanced Workforce Strategy**

Not Applicable

**DHS Balanced Workforce Strategy Follow-On**

- The FY 2013 DHS Balanced Workforce includes 16 FTP, 16 FTE and \$0 for various Aviation programs:
  - TSA does not have plans for the conversion of contracts in FY 2013.
  - TSA does not need funds for Annualization of FY 2012 DHS Balanced Workforce.
  - TSA’s FY 2013 budget request reflects an additional 16 FTP/16 FTE that resulted from contract conversions completed in FY 2011. These positions were annualized in FY 2012, and full costs were included in the FY 2013 current services.

# Department of Homeland Security

*Transportation Security Administration  
Surface Transportation Security*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Transportation Security Administration Surface Transportation Security**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and expenses:**

##### **Mission Statement**

The Transportation Security Administration (TSA) is mandated to protect the surface transportation system and to ensure the freedom of movement and the security of people and commerce. This mission is accomplished largely by a consortium of Federal, State, local, and private entities coordinated by TSA to optimize resources in a risk-based approach to security. In addition to sector and modal planning and coordination, TSA provides operational deterrence support through surface security inspectors, canine teams, and Visible Intermodal Prevention and Response (VIPR) teams. TSA also provides other protective resources such as: training, personnel funding; screening and detection programs; voluntary guidelines and best practices; regulations; security and process standards; vulnerability and risk assessment teams; and subject matter expertise to the Federal Emergency Management Agency (FEMA) for surface transportation security grant programs. TSA's surface transportation responsibilities also include coordination of the government and industry activities to identify and address unacceptable risk associated with all hazards affecting the Postal and Shipping Sector.

Various statutes and executive directives require that transportation risk reduction activities be determined and implemented collaboratively in accordance with strategic plans developed with security partners. These combined efforts play an essential role in DHS's mission to prevent terrorist acts within the United States, to reduce vulnerability to terrorism, to minimize the damage from potential attacks and disasters, and to improve system resilience after an incident. The surface domain includes:

- 1) Approximately 751 million passengers traveling on commercial buses each year and over 9 billion passenger trips on publicly operated mass transit per year.
- 2) Over 140,000 miles of railroad track (of which 120,000 miles are privately owned); 3.8 million miles of roads (46,717 miles of interstate highway and 114,700 miles of National Highway System roads); 582,000 highway bridges over 20 feet of span; 54 highway tunnels over 19,685 feet in length, and over 2.5 million miles of pipeline.
- 3) Nearly 800,000 shipments of hazardous materials transported every day (95 percent by truck).
- 4) The Marine Transportation System consisting of waterways, ports, and their connections, as well as commercial and recreational vessels, vehicles, and system users, such as importers and exporters. This system is geographically vast, with 95,000 miles of shoreline, 25,000 miles of rivers and canals, and is the primary transportation mode providing connectivity between the United States and global economies; 99 percent of overseas trade by volume enters or leaves the United States by ship.



The threat to surface transportation security has been growing over the past decade. Surface transportation remains an attractive target both globally (witness the bombings in Madrid in 2004; London in 2005; Mumbai, India in 2006; and Moscow in both 2004 and 2010) and within the United States. For example: in 2007 Russell Defreitas and three others planned to attack pipelines at the John F. Kennedy Airport; in 2008 there was a threat to New York City commuter rail; in 2009, Najibullah Zazi planned to bomb the New York City subway; in 2010, Faisal Shahzad left a car with gas, propane, fertilizer, and firecrackers at Times Square in New York City; and Farooque Ahmed was arrested in a sting operation in October 2010 for plotting against the Washington Metropolitan Area Transit Authority. To counter the dynamic, yet enduring nature of the threat to surface transportation, TSA, its government partners, and industry owners and operators have committed to improve the security and resilience of the transportation system.

TSA plays a pivotal role in strengthening Surface Transportation Security. The *Implementing Recommendations of the 9/11 Commission Act of 2007* (9/11 Act) requires TSA to take specific measures to strengthen specific modes of transportation by conducting modal security assessments, requiring modal security plan development, providing guidelines for modal security training, and conducting exercise activities to reinforce those security plans. Additionally, the Administration's 2010 Surface Transportation Priority Security Assessment designates TSA as the lead agency for implementing 17 of the report's 20 recommendations, and requires TSA to support the lead agency for two additional recommendations. The Surface Transportation Security budget request for FY 2013 reflects TSA's continuing efforts to improve surface transportation security pursuant to these requirements.

### **B. Budget Activities:**

This appropriation includes two major programs, Surface Transportation Security Staffing and Operations, and Surface Transportation Security Inspectors and Canines.

**Surface Transportation Security Staffing and Operations** - Provides funding for the coordination among all surface security stakeholders of processes and programs to: (1) identify and remediate unacceptable risks to critical infrastructure from all types of hazards; and (2) develop a regulatory framework and the administrative policy for national security strategies, plans, and programs that identify innovative solutions and best practices.

**Surface Transportation Security Inspectors and Canines** - Employs a cadre of inspectors and canine teams to assess compliance, national program delivery, and provide outreach on security assets in the surface transportation system. These resources interact daily within the transportation network to enhance security measures and are available for surge operations during times of heightened security. These inspectors and canine teams are an integral part of TSA's VIPR program.

### **C. Budget Request Summary:**

The Transportation Security Administration requests 807 positions, 775 FTE, and \$124,276,000 for FY 2013. The total adjustment-to-base is a decrease of \$10,472,000.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Transportation Security Administration**  
**Surface Transportation Security:**  
 Summary of FY 2013 Budget Estimates by Program Project Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Staffing and operations	171	150	40,023	158	153	38,514	158	153	36,711	-	-	(1,803)	-	-	-	-	-	(1,803)
Surface Security Inspectors and Canines	649	507	69,085	649	622	96,234	649	622	87,565	-	-	(8,669)	-	-	-	-	-	(8,669)
<b>Total, Surface Transportation Security:</b>	<b>820</b>	<b>657</b>	<b>109,108</b>	<b>807</b>	<b>775</b>	<b>134,748</b>	<b>807</b>	<b>775</b>	<b>124,276</b>	-	-	<b>(10,472)</b>	-	-	-	-	-	<b>(10,472)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>820</b>	<b>657</b>	<b>109,108</b>	<b>807</b>	<b>775</b>	<b>134,748</b>	<b>807</b>	<b>775</b>	<b>124,276</b>	-	-	<b>(10,472)</b>	-	-	-	-	-	<b>(10,472)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>820</b>	<b>657</b>	<b>109,108</b>	<b>807</b>	<b>775</b>	<b>134,748</b>	<b>807</b>	<b>775</b>	<b>124,276</b>	-	-	<b>(10,472)</b>	-	-	-	-	-	<b>(10,472)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Staffing and Operations  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Staffing and operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>171</b>	<b>150</b>	<b>40,023</b>
<b>2012 Enacted Budget Authority</b>	<b>158</b>	<b>153</b>	<b>38,514</b>
2013 Adjustments-to-Base	-	-	(1,803)
<b>2013 Current Services</b>	<b>158</b>	<b>153</b>	<b>36,711</b>
<b>2013 Total Requested Budget Authority</b>	<b>158</b>	<b>153</b>	<b>36,711</b>
Total Change 2012 to 2013	-	-	(1,803)

The Transportation Security Administration requests \$36.7 million for this activity. The adjustments-to-base includes: an increase of \$86,000 for pay inflation, a decrease of \$1.9 million for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

TSA, in accordance with the Aviation and Transportation Security Act (ATSA), is responsible for assessing security threats, vulnerabilities, and consequences in all surface transportation modes. Further, TSA is charged with identifying needed security enhancements for surface transportation and related infrastructure, as well as developing security plans, and issuing and enforcing regulations to improve modal security. Homeland Security Presidential Directive (HSPD) 7 and Presidential Policy Directive (PPD) 8 expand TSA’s security responsibilities to include coordination of preparedness, response, and recovery activities for all hazards threatening the critical infrastructure and systems that comprise the Transportation Systems Sector.

The key strategic plans and requirements documents driving TSA’s security efforts are the Executive Order to Strengthen Surface Transportation, the Intelligence Reform and Terrorism Prevention Act (IRTPA) of 2004, the National Infrastructure Protection Plan, the 9/11 Commission Act of 2007, and the DHS Strategic Plan. The following activities are supported by Staffing and Operations:

## Staffing and Operations FY 2013 Request

(dollars in thousands)

	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
Multi-modal Activities (including Maritime & Postal & Shipping)	\$12.0	\$11.4
Mass Transit Activities (Including Passenger, Rail & Bus)	\$6.9	\$6.5
Freight Rail Activities	\$5.7	\$5.5
Pipeline Activities	\$4.8	\$4.6
Highway and Motor Carrier Activities	\$9.1	\$8.7
<b>Total</b>	<b>\$38.5</b>	<b>\$36.7</b>

### **Multi-modal Activities (including Maritime and Postal & Shipping): \$11.4 million**

National Transportation Strategies, Plans and Reports: TSA develops multiple strategies and plans for the protection of transportation assets, such as the Transportation Systems Sector-Specific Plan, strategic modal security plans as required by the IRTPA, and national strategies for public transportation, railroads, and a pipeline system recovery plan as required by the 9/11 Act. The legislation requires that strategies, plans and associated reports are developed in collaboration with Federal, State, local, tribal and territorial governments, owners and operators of transportation infrastructure, private sector stakeholders, and non-profit employee representative organizations. TSA strives to minimize the overlap in planning requirements and to provide a unified process for its stakeholders.

For example, by letter dated September 8, 2009, Congress gave TSA approval to combine the National Strategy for Transportation Security (NSTS) and the modal plans with the 2010 Transportation System Sector-Specific Plan. The 2010 Transportation System Sector-Specific Plan was published in June 2011 and combined the Transportation Systems Sector-Specific Plan, the NSTS, the National Strategy for Railroad Security, the National Strategy for Public Transportation Security, and the National Maritime Transportation Security Plan. Additionally, TSA coordinated the completion of the 2010 Postal & Shipping Sector Security Plan.

9/11 Regulations: In response to the 9/11 Act, TSA is issuing a regulation mandating that freight rail employers, passenger rail carriers, and over-the-road-bus (OTRB) operators develop comprehensive security plans and conduct vulnerability assessments. TSA is preparing multiple rulemakings to cover each of these modes of surface transportation. Following a risk-based approach, these rules will cover the same population of entities covered by the Security Training Programs for Surface Mode Employees Notice of Proposed Rulemaking (NPRM). TSA anticipates that the NPRMs for surface mode security plans and vulnerability assessments will be issued in FY 2013.

The 9/11 Act also requires employees across the surface transportation and aviation modes to complete Security Threat Assessments (STAs). The Transportation Threat Assessment and Credentialing office is preparing a rulemaking to consolidate, coordinate, and harmonize background checks for employees across these different modes of transportation. TSA will work with other agencies that conduct

background checks to avoid redundancies. TSA anticipates that the NPRM will be issued for the STA in FY 2012.

Surface Transportation Security Priority Assessment: TSA is responsible for implementing and managing 17 of the Surface Transportation Security Priority Assessment Report's 20 recommendations, and will also support the lead agency for an additional two recommendations. The implementation costs for many of these recommendations are reflected in other TSA program budget justifications (i.e., credentialing and security threat assessment, grants initiatives). However, TSA is required to establish a single data repository for all Federally-obtained security risk-related information on transportation systems and assets. This will require TSA to inventory, store, maintain, and make available surface transportation risk assessment information to transportation security industry partners. In FY 2010, TSA developed a database taxonomy that supports the storage and maintenance of all Federally-obtained transportation security risk-related information. In FY 2011, TSA began rolling out the Objectively Measured Risk Reduction (OMRR) database tool and incorporated it with the Mission Risk Knowledge Center (MRK-Center). The tool has been applied to Freight Rail, as a suite of tools, and to Mass Transit infrastructure. In FY 2012, TSA plans to apply the tool to other modes, including Highway and Motor Carriers and Pipelines and plans to expand upon the user interface, the volume of information, and the searchability of data in the MRK-Center.

Grant Oversight and Management: TSA provides subject matter expertise and programmatic support to the Grants Program Directorate at FEMA to determine funding priorities and allocation methodologies; issue guidance; and evaluate and approve grant applications for intercity bus, trucks, freight rail, mass transit, ferry, and passenger rail systems. Representatives from the TSA's Intermodal Security Support Division are members of the Executive Steering Committee, as well as the National Review Team for the Port Security Grant Program. Similarly, representatives from TSA's Mass Transit and Passenger Rail Security Division, Highway and Motor Carrier division, and Freight Rail division are members of the National Review Panel for the mass transit and passenger rail grants; intercity bus and trucking grants; and freight rail grants, respectively. The grants are awarded primarily based on risk.

Intermodal Security Training Exercise Program (I-STEP): TSA's I-STEP supports DHS FY 2009 – 2013 Integrated Planning Guidance and TSA Strategies and Goals to enhance the protection of all modes of transportation through objectively measured risk reduction. I-STEP exercises and training are important to building and sustaining security preparedness to protect American people, enhance national resilience, and identify capability gaps and needed resources. Further, TSA's I-STEP meets the requirements of the 9/11 Act by creating a security training and exercise program in the mass transit, freight rail, pipeline, maritime, and OTRB sectors. I-STEP provides programmatic support to modal General Managers that includes the development of training and security awareness material, strategic planning; transportation risk management analysis, stakeholder outreach and modal/multi-modal security program planning.

Transportation security exercises provide opportunities to demonstrate, evaluate, and improve the combined capability and interoperability of surface transportation system partners to perform missions and tasks to achieve successful outcomes and identify security best practices and lessons-learned. To enable stakeholders, I-STEP has also developed a comprehensive training matrix to serve as a resource for TSA security partners in government and industry. Additionally, TSA and the U.S. Coast Guard collaborated on multi-port, intermodal exercises on a regional level in the maritime sector. TSA is also

expanding exercise planning capacity by introducing an on-line exercise planning and information management system (*EXIS*) capable of supporting all modes in the transportation system. This system will specifically assist stakeholders in planning and conducting their own exercises and increasing preparedness in addition to those exercises conducted through I-STEP.

Through security training, TSA develops and disseminates enhanced security training, community awareness products, and operational guidance to enhance security and eliminate duplication of effort in multi-modal transportation operations including seaports. Multi-modal transportation systems are classic intermodal connection points where trucks, trains, pipeline, and mass transit ferry systems can intersect. For example, many ferry systems are a part of a larger city-wide mass transit system. TSA will coordinate and host a series of Explosive Security Seminars for security personnel and first responders in high-risk cities across the Nation. The seminars will present concepts on responding to threats and share regional best practices on an actual event of Improvised Explosive Device/Vehicle Borne Improvised Explosive Devices in intermodal environments.

Intermodal Visual Enhancement Workshop (I-VIEW): TSA will employ photographic and video images to record high-risk transportation infrastructure and systems. I-VIEW provides very detailed domain awareness of a facility or asset by creating a virtual reality of the transportation system by giving the user detailed views, information, and associated documents. I-VIEW will aid agencies with a prevention, response, investigatory capability or responsibility. I-VIEW will assist public and private transportation agencies in preventing, mitigating, responding to, and recovering from terrorist incidents. In FY 2010, TSA worked alongside DHS Infrastructure Protection on two transportation system initiatives to validate capabilities, purchase imagery capture and post-processing equipment, and to conduct initial training for staff. In FY 2011, the following TSA I-VIEW imagery captures have been completed: Boston's South Station Transit Station; Boston's South Station Bus Terminal; Boston's LNG terminal and maritime approaches; Staten Island Ferry; Port of Miami; Port Everglades; Miami International Airport and a forensic of Miami International's fuel farm; and, the Los Angeles International Airport. Post processing activities are still on-going and TSA will continue to capture/process imagery in FY 2012.

Mission Risk Knowledge Center (MRK-Center): MRK-Center is a tool which enables senior field and headquarters leaders to select countermeasures to prevent, deter, and respond to a security incident. It enables Office of Security Operations (OSO), Office of Intelligence (OI), Office of Law Enforcement (OLE), and Transportation Sector Network Management (TSNM) to share risk-related information across the agency, ensuring that all Offices make decisions based on consistent data. This portal serves as an integrated repository for this risk-related information, and includes a risk analysis database that will allow for the manipulation and analysis of the critical information.

Technology Pilots: Security Technology Pilots enhance the capability to deter, detect, and prevent explosives from being introduced as a weapon on port and multimodal transportation systems and their associated facilities and terminals. Security Technology Pilots build upon existing technology pilots that provide a platform and programmatic infrastructure for improving current security screening for high capacity transportation operations. Technology selected to be tested is pertinent to several TSA programs.

In FY 2011, TSA supported the continued development of the Fedtrak System. Congress directed TSA through Public Law 110-53, Section 1554 to develop a program that tracks motor-carrier

shipments of security-sensitive materials. DHS Office of Infrastructure Protection identified the need in the 2007 Sector Annual Report for the Transportation Sector to develop a system that would demonstrate a realistic and cost-effective architecture, infrastructure, and workable concept of operations.

TSA spent nearly \$11 million from 2003 to 2007 on the Hazmat Truck Security Pilot (HTSP) to demonstrate that a hazardous materials truck tracking center system could interface with government intelligence centers and first responders to monitor and manage the movements of trucks with Highway Security-Sensitive Materials (HSSM). TSA is leveraging the proven efforts of the HTSP and the North American Transportation Security Center (NATSC) to help TSA implement a Tier 1 HSSM truck tracking program consistent with Public Law 100-53.

TSA continues to support DHS' Science and Technology Directorate with the implementation of a prototype (Fedtrak). The prototype will study the practicality of the TSA Security Action Items (SAIs) related to shipment tracking and evaluate the smart truck telematics industry to culminate in a report to Congress.

Stakeholder Collaboration: TSA interfaces with government and private sector stakeholders in multiple modes concerning strategies, plans, reports, best practices, standards, regulations, protection programming and performance measurement. Collaboration activities also include formal information and intelligence sharing processes; training, exercise and outreach initiatives; and other outreach efforts on matters impacting the Transportation System Sector. For example, TSA provides security awareness information to operators as part of the HAZMAT Motor Carrier Security Action Item Training Program, to the school transportation industry as part of the School Transportation Security Awareness Program, and to the motor coach industry through Operation Security Transport. In addition, TSA holds an annual cybersecurity summit addressing cybersecurity in the transportation modes. Campaigns being conducted with mass transit and passenger rail include Transit Watch, First Observer, and "If You See Something, Say Something," a campaign being conducted cooperatively with DHS and Amtrak, which emphasizes the importance of vigilance, timely reporting of security concerns, and fostering public awareness and education.

Baseline Assessment for Security Enhancement (BASE) Program: TSA has implemented a continuous improvement process via comprehensive security assessments conducted by TSA Transportation Security Inspectors-Surface (TSIs-Surface) under the BASE program. Assessments evaluate security posture in 17 Security and Emergency Management Action Items foundational to an effective mass transit security program and 23 SAIs for the highway sector security program. The results influence security enhancement priorities and review of projects under the Transit Security Grant Program (TSGP) for mass transit and passenger rail agencies, as well as highway sector trucks and motor coaches. The most effective security practices cited in the BASE assessments are shared throughout the transit, rail and highway communities, which spurs networking among security professionals and expands implementation.

Beyond conducting assessments, TSIs-Surface serve as direct liaisons to mass transit, passenger rail and highway sector security officials. In this capacity, they facilitate security enhancement efforts, respond to reports of threats and suspicious incidents, and foster regional security collaboration.

Corporate Security Reviews (CSRs): TSA conducts CSRs in multiple modes of transportation on a continuous basis to evaluate standards and identify security gaps in reviewed systems. CSRs allow TSA and the system operators and owners to develop first-hand knowledge of security planning and execution at critical systems, establish communication between key security personnel, identify and share smart practices, and make recommendations for security improvements. During a CSR, teams of TSA modal experts evaluate and collect physical and operational preparedness information on critical assets and key point-of-contact lists, review emergency procedures and security plans, provide domain awareness training, and offer an opportunity to share security practices among security partners.

**Mass Transit Activities (Including, Passenger Rail, and Bus): \$6.5 million**

Stakeholder Collaboration: TSA Mass Transit officials coordinate with key stakeholders in a number of ways, such as the Regional Transit Security Working Groups. The purpose of these working groups is to identify regional priorities and resolve security needs. In FY 2011, TSA focused on capital projects for critical assets in the historically Tier 1 Transit Security Grant Program regions.

TSA also works closely with the Mass Transit and Passenger Rail Security Government Coordinating Council and Sector Coordinating Council, and with the Transit Policing and Security Peer Advisory Group (PAG). The PAG is a collection of 21 Transit Police and Security Chiefs representing various types of transit agencies across the Nation. TSA also partners with the Department of Transportation's Federal Transit Administration to conduct annual Safety and Security Roundtables where the agencies with daily weekday ridership of 60,000 or greater attend a three-day conference where best practices and ideas are shared.

TSA's Mass Transit program coordinates bomb squad responses to Transportation System training and exercises with transit systems around the country. The Mass Transit's training division works with the public transit industry, TSA's Explosive Ordinance Division, and local law enforcement agencies in providing training to local bomb squad units across the Nation. The eight-hour Bomb Squad Response Training Program is designed specifically for non-transit police bomb squads responsible for responding to improvised explosive device (IED) events involving mass transit and passenger subway trains, light rail vehicles, and buses. The training, which includes video, classroom instruction and field components, equips first-responders with the working knowledge of the various mass transit and passenger rail operating conditions and environment (e.g., subway tunnels, stations and aerial structures) in order to safely and expeditiously remediate an IED incident.

Infrastructure Protection: The TSA Mass Transit and Passenger Rail Security Division (MTPR), in coordination with other government partners (i.e., NPPD) and industry, have identified the Nation's most critical mass transit and passenger rail infrastructure, and are focused on identifying vulnerabilities and facilitating the mitigation of these vulnerabilities. Mass Transit and Passenger Rail critical infrastructure consists of transit and rail underwater tunnels, high volume, multi-modal transit and rail stations, bridges, and other identified structures. TSA is working closely with these stakeholders to guide them in developing remediation plans to harden this infrastructure. Plans are underway to conduct a Transit and Passenger Rail Infrastructure workshop in FY 2013 with stakeholders who own/operate this critical infrastructure. This workshop will bring together industry experts to share best practices and mitigation efforts on protecting this critical infrastructure.



Technology: TSA's MTPR Security Division, in coordination with its partners, maintains a robust research and development agenda and technology program. Working with security partners to identify additional research and development requirements, coupled with testing new and emerging technologies in the field, is critical to advancing new and emerging technologies throughout the Mass Transit community. Examples of these joint programs include: Resilient Tunnel and Mass Transit Operational Test Beds.

The Resilient Tunnel Project (RTP), developed in conjunction with objective three of the National Tunnel Security Initiative to utilize the Transportation Security Grant Program (TSGP) funds on highest risks, was designed to develop feasible, innovative, and cost effective solutions to limit water flow in case of a tunnel breach.

TSA is also currently conducting planning that will lead to the establishment of two Mass Transit Operational Test Beds in large, multi-faceted, multi-modal transit systems. These test beds will be the primary venues in which new technologies and associated processes and procedures will be evaluated.

### **Freight Rail Activities: \$5.5 million**

Infrastructure Criticality Tool: The TSA Freight Rail Security Division has refined and enhanced a critical infrastructure risk assessment tool. This tool is designed to measure the criticality and vulnerability of freight rail bridges in the United States and serves as the factual and analytical baseline to develop and propose security enhancements and mitigation strategies for critical railroad infrastructure.

Critical Infrastructure Assessments: In FY 2011, the Freight Rail Security Division utilized the Infrastructure Criticality Tool to assess 73 critical railroad infrastructures. Since the initiation of this program, a total of 143 critical railroad infrastructures have been assessed. An additional 118 critical railroad infrastructures locations are projected to be assessed by the end of FY 2012.

Toxic Inhalation Hazard (TIH) Transportation Risk Reduction: TSA, in cooperation with industry stakeholders, established the TIH risk reduction program to objectively measure the security risk associated with the rail transportation of TIH materials through High Threat Urban Areas (HTUA). The program's objective is to reduce the dwell time of rail cars carrying TIH materials, and implement positive security measures by rail carriers. An estimated risk reduction of 96 percent was achieved in FY 2011 when compared against the original baseline. The Freight Rail Security Grant Program (FRSGP) has made funding available for the installation of electronic tracking devices on rail cars transporting rail security-sensitive materials (RSSM). This technology provides TSA with domain awareness of RSSM shipments and optimizes the time spent on TIH risk surveys, as the data acquired from the tracking devices provides more detailed information on the location and movement of RSSM rail cars than was previously available. In FY 2010, all GPS grant awardees (five) had acquired and installed the GPS units on 44 percent of their TIH applicable railcars. The grant awardees were 86 percent complete at the end of Q4 FY 2011 and anticipate full completion in FY 2012 equating to 3,821 GPS enhanced TIH railcars.

Rail Transportation Security Compliance: On November 26, 2008, TSA issued a final rule on rail transportation security covering freight railroad carriers, shippers of RSSM, and receivers of RSSM located within an HTUA. The Rail Transportation Security Rule establishes procedures for the secure

transfer of custody between railroads and at points of origin and delivery in HTUAs. The rule also requires the appointment of Rail Security Coordinators, the reporting of location and shipping information of RSSM rail cars, and the reporting of significant security concerns to TSA. TSA's surface inspector workforce monitors compliance with the provisions of the regulation. The Freight Rail program office supports the inspection force with training and enforcement guidance.

Regulatory Development: During FY 2011, the Freight Rail Division coordinated the development of a Notice of Proposed Rulemaking (NPRM) that will require "high-risk" railroads to conduct vulnerability assessments of critical infrastructure and subsequently develop and implement security plans. TSA anticipates completion of the NPRM draft in FY 2012.

Railroad Self Assessment of Vulnerability (RSAV) tool: In accordance with Section 1512 of the 9/11 Act, TSA developed the RSAV as a mechanism that railroads can use to evaluate the criticality and vulnerability of an identified set of critical infrastructure assets. The RSAV will be made available to regulated parties concurrently with the issuance of the NPRM for their use as a means to comply with a proposed regulation requiring certain railroads to conduct vulnerability assessments and develop security plans.

Dispersion Modeling: To improve the understanding of large-scale toxic chemical releases from rail tank cars, in high population areas, TSA and the U.S. Army Edgewood Chemical and Biological Center (ECBC) with support from the DHS S&T Chemical Security Analysis Center (CSAC) conducted ten outdoor chemical release trials during Project Jack Rabbit. One and two-ton quantities of chlorine and anhydrous ammonia were released at a U.S. Army testing installation in the Utah desert. A wide range of instrumentation and video cameras collected vast amounts of data. TSA is providing support to the CSAC to evaluate the release data. In order to meet the 9/11 Act 1519(b) requirements to evaluate the impact of large TIH materials releases, additional release testing of large quantities of chemicals may be necessary. TSA collaborated with many of the Nation's dispersion modeling scientists and hazardous materials experts. Interested stakeholders include first responders, emergency managers, chemical and rail industry, the Department of Transportation, several organizations within the Department of Defense.

Tank Car Vulnerability: To better understand and quantify the vulnerability of rail tank cars carrying TIH materials, TSA in partnership with DHS S&T and the Federal Bureau of Investigation (FBI) funded the testing of the potential impact of weapons (bullet, Explosively Formed Projectile, IED, and VBIED) on the TIH material tank car. The testing was conducted by the Naval Surface Warfare Center Carderock Division at the U.S. Army Aberdeen Proving Ground. Occidental Chemical donated two TIH rail tank cars for this testing. This information will be used to develop vulnerability reduction methodologies that could be used in existing and new rail tank cars.

Ammonium Nitrate Testing: TSA has identified the security of high-density, fertilizer-grade ammonium nitrate (FGAN), transported in bulk, as a potential vulnerability in the freight rail network. To assess the risk posed by this potential threat, TSA led a multi-government agency and industry team in a 2010-2011 study of the potential for weaponizing rail hopper cars carrying bulk loads of ammonium nitrate. These experts evaluated existing studies, nationally and internationally, classified and unclassified, on the explosive risks associated with ammonium nitrate. Participating organizations include TSA, FBI, Bureau of Alcohol, Tobacco, Firearms and Explosives, U.S. Coast Guard,

Department of Transportation, Technical Support Working Group, DHS, The Fertilizer Institute, and the Institute of Makers of Explosives.

### **Pipeline Activities: \$4.6 million**

Critical Facility Assessments: The *Implementing Recommendations of the 9/11 Commission Act of 2007* (9/11 Act) required TSA to conduct inspections of the critical facilities of the 100 most critical pipeline operators. 347 facilities were identified as meeting the criteria for designation as critical and requiring inspection. TSA's Critical Facility Inspection (CFI) Program was initiated in November 2008 with a focus on assessing location specific physical security measures. Following each inspection pipeline company personnel were provided an on-site debrief with security recommendations as well as a written report. Inspection of the final facility occurred in May 2011.

TSA intends to continue its assessment program for critical pipeline facilities. Modifications have been made to the review process to incorporate guidance contained in the revised Pipeline Security Guidelines. Under its Critical Facility Security Review (CFSR) Program, TSA will evaluate the physical security of 90 – 100 pipeline facilities annually.

Pipeline Corporate Security Reviews (CSRs): On an annual basis, TSA conducts 15 – 20 CSRs of the top 100 natural gas and hazardous liquid transmission pipelines and natural gas distribution systems within the United States. This allows the program to revisit a company within the top 100 systems approximately every three to four years to assess the current status of the company's security efforts and gauge progress from previous reviews.

Stakeholder Collaboration: The TSA Pipeline Security Division has established a highly effective working relationship with its industry and government partners through the Pipeline Sector and Government Coordinating Councils. TSA is also an active participant in the Energy Sector Oil and Natural Gas Coordinating Council. To provide pipeline industry personnel with additional insight into TSA's current activities and policies, the Pipeline Division conducts monthly stakeholder conference calls.

The Pipeline Security Division has developed three security related CD/DVD training programs for use by pipeline operators: *Pipeline Security Awareness*, *Pipelines: Countering IEDs*, and *Protecting Pipeline Infrastructure: The Law Enforcement Role*. Also, to enhance the preparedness of pipeline companies, TSA has conducted I-STEP exercises with operator security personnel.

In conjunction with its Canadian government counterpart, Natural Resources Canada, TSA hosts an International Pipeline Security Forum on an annual basis. The two-day forum enhances government and industry pipeline security domain awareness and provides opportunities for discussion of major pipeline security issues, both domestic and international.

### **Highway and Motor Carrier Activities: \$8.7 million**

Highway Infrastructure Assessments: TSA developed a comprehensive critical infrastructure (bridges and tunnels) vulnerability assessment program to identify and rank critical assets, identify vulnerabilities, and quantify costs for hardening structures and replacing each structure. TSA plans to

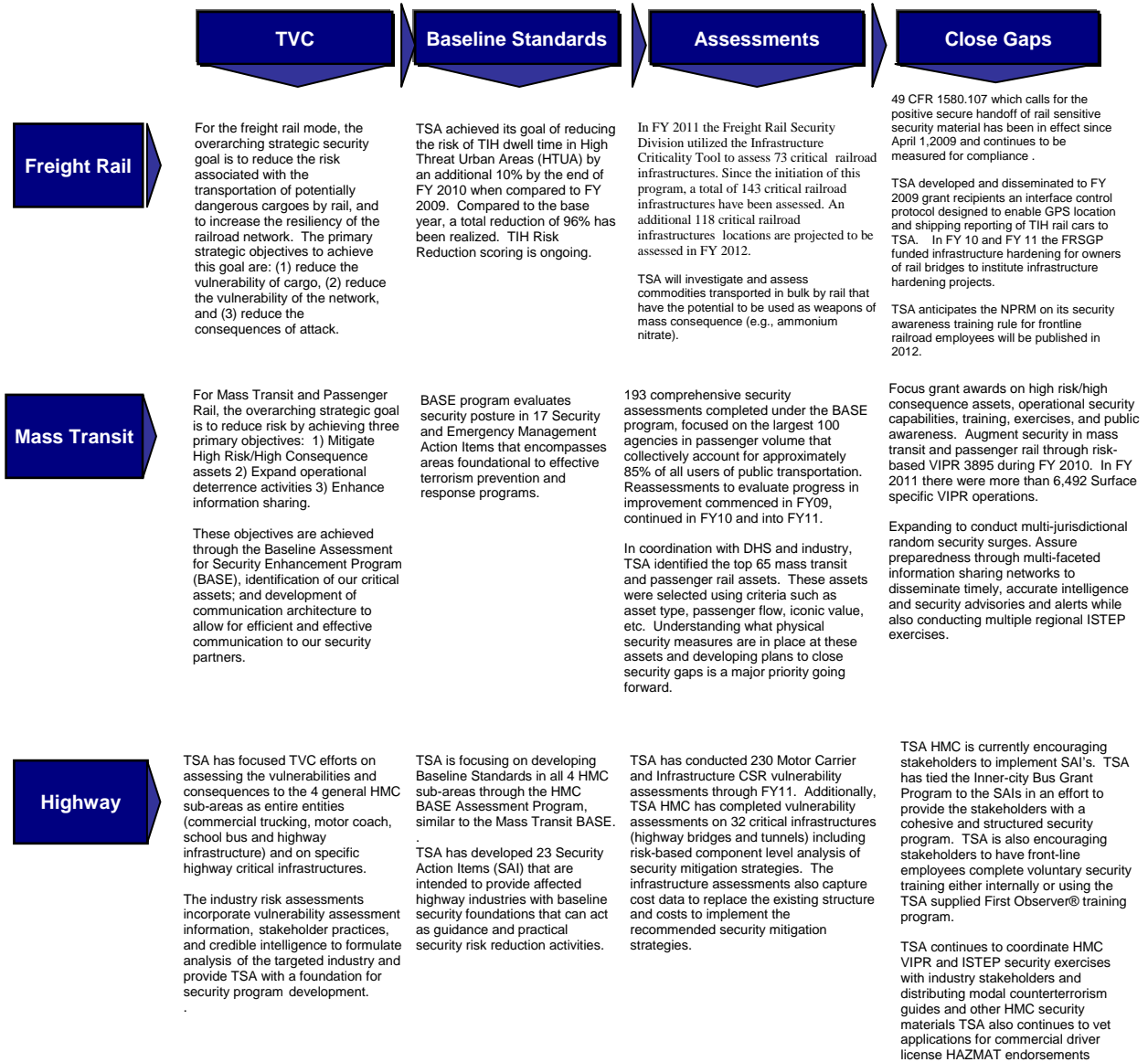
continue to conduct assessments (finite element modeling) on critical structures. In FY 2012, this program will continue to be expanded to incorporate outreach efforts utilizing U.S. Army Corps of Engineers (USACE) subject matter experts (SME) to participate in working groups and seminars that identify security related vulnerabilities at the design phases of an individual structure. These additional USACE SME personnel will augment TSA personnel and act in an advisory capacity to review structural plans provided by stakeholders to identify weaknesses in the structure that may result in emergency support or mitigation.

Highway Baseline Assessment for Security Enhancements (BASE) Assessment Program: The Highway BASE Assessment program is the next generation Highway CSR. This new program and process will replace the existing CSR program that Highway Motor Carrier (HMC) began in 2005. Highway BASE is a comprehensive assessment of highway and motor carrier assets. The BASE assessment is comprised of security and response assessment areas based on CSRs protocol items and the security action items that were developed by TSA and issued to the highway HAZMAT transportation industry in 2008. The program will target assets compiled by risk-based data from private and public sources.

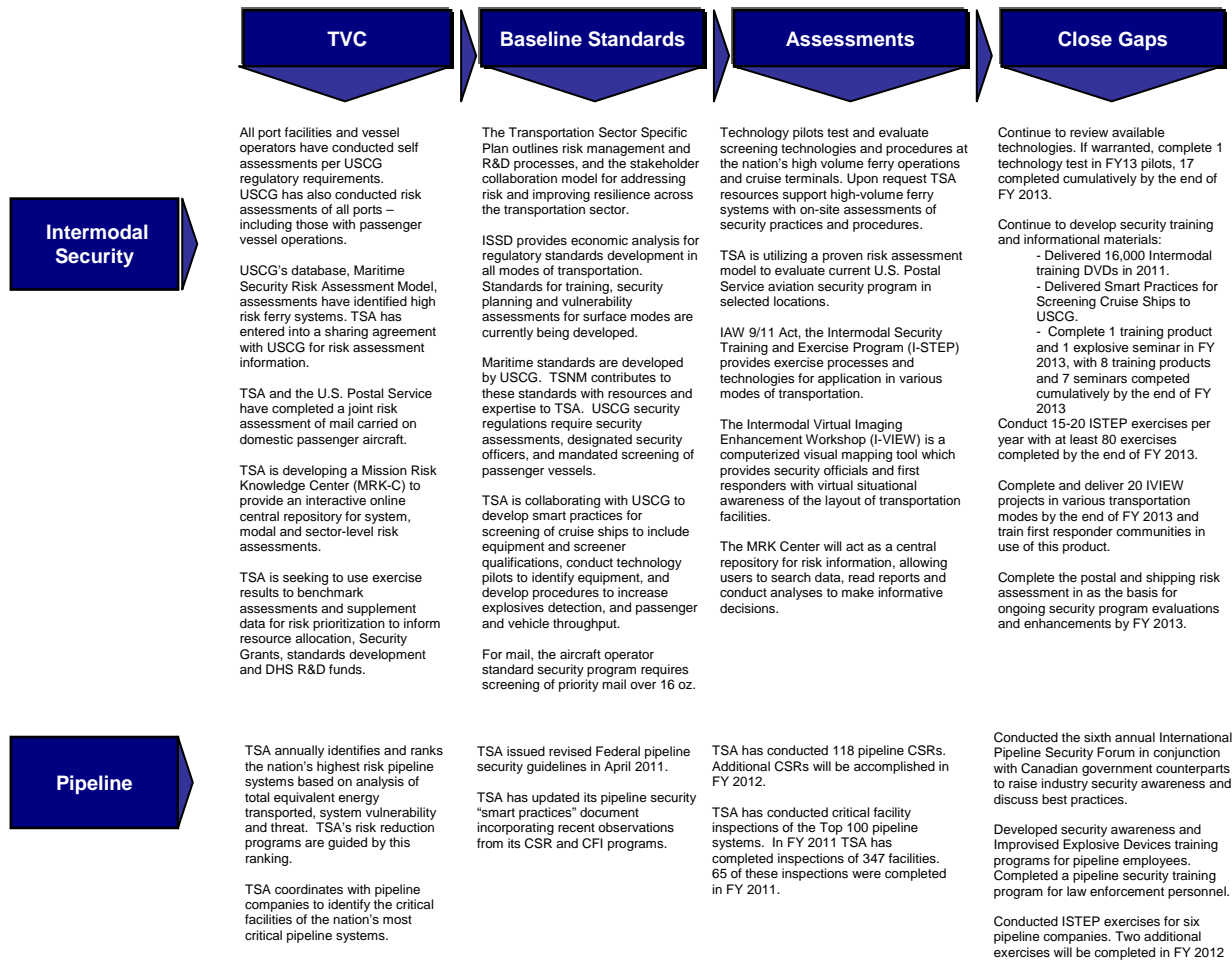
Stakeholder Collaboration: TSA coordinates closely with industry stakeholders through the Critical Infrastructure Partnership Advisory Council meetings that are held with each of the four highway modal industry groups of trucking, motor coach, school bus, and infrastructure. Additional areas of stakeholder collaboration include the development of modal training programs and the planning and execution of modally-focused security exercise programs through TSA's I-STEP program office.

The following surface transportation initiative matrix displays the mitigation activities that TSA has conducted to reduce the risk resulting from threats, vulnerabilities, and consequences specific to each transportation mode.

## SURFACE TRANSPORTATION INITIATIVE MATRIX



## SURFACE TRANSPORTATION INITIATIVE MATRIX



In FY 2013 the Staffing and Operations PPA will be reduced by \$1.9 million due to savings from the purchase of supplies and materials, as well as savings in administrative/professional support contracts. Over \$1 million will be saved through efficiencies across the DHS enterprise in areas such as TDY and conferences.

### Management Efficiencies: (\$1,889 million) (dollars in thousands)

<u>Item</u>	<u>Sub-Total</u>	<u>Total</u>
Enterprise-Wide Efficiencies		(\$1,304)
General TDY	(\$ 96)	
Conferences	(\$ 3)	
OFPP Directed Purchasing Savings	(\$ 1,205)	
Admin/Professional Support Contract Efficiencies		(\$127)
Other		(\$458)

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Surface Transportation Security Inspectors and Canines  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Surface Transportation Security Inspectors and Canines**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>649</b>	<b>507</b>	<b>69,085</b>
<b>2012 Enacted Budget Authority</b>	<b>649</b>	<b>622</b>	<b>96,234</b>
2013 Adjustments-to-Base	-	-	(8,669)
<b>2013 Current Services</b>	<b>649</b>	<b>622</b>	<b>87,565</b>
<b>2013 Total Requested Budget Authority</b>	<b>649</b>	<b>622</b>	<b>87,565</b>
Total Change 2012 to 2013	-	-	(8,669)

The Transportation Security Administration requests \$87.5 million for this activity. The adjustments-to-base includes: an increase of \$272,000 for pay inflation and a decrease of \$8.9 million for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Surface Transportation Security Inspector and Canine PPA provides resources for the Surface Inspection and Oversight (SIPO) program; Surface Visible Intermodal Prevention and Response (VIPR) program; and the surface transportation security related part of the National Explosives Detection Canine Training Program (NEDCTP).

	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
Surface Inspection and Program Oversight (SIPO)	\$33.9	\$33.0
Visible Intermodal Prevention and Response (VIPR)	\$55.5	\$47.8
National Explosives Detection Canine Training Program	\$6.8	\$6.7
<b>Total</b>	<b>\$96.2</b>	<b>\$87.5</b>

**Surface Inspection and Program Oversight (SIPO): \$33.0 million:**

The SIPO is a unique and critically important Federal inspection program with responsibilities in United States surface transportation security. With emphasis on freight railroads, mass transit,

passenger rail, and highway motor carriers, the SIPO has set out to enhance security preparedness in an industry that is the largest transporter of passengers in the country.

The following chart provides historical and current information on the total number of Surface, Aviation, and Cargo Transportation Security Inspectors (TSIs) positions across TSA.

**TSA Full-Time Permanent Inspector Positions**

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Aviation Regulation Inspectors</b>	<b>815</b>	<b>815</b>	<b>915</b>	<b>958</b>	<b>958</b>
Aviation Regulation - Domestic Inspectors	657	657	657	657	657
Aviation Regulation - Domestic Canine Inspectors	23	23	123	166 <sup>1, 2</sup>	166
Aviation Regulation - Domestic VIPR Inspectors	75	75	75	75	75
Aviation Regulation - International Inspectors	45	45	45	45	45
Aviation Regulation - International Repair Station Inspectors	15	15	15	15	15
<b>Air Cargo Inspectors</b>	<b>545</b>	<b>630</b>	<b>630</b>	<b>630</b>	<b>630</b>
Air Cargo - Domestic Inspectors	450	500	500	500	500
Air Cargo - Domestic Canine Inspectors	85	120	120	120	120
Air Cargo - International Inspectors	10	10	10	10	10
<b>Surface Inspectors</b>	<b>225</b>	<b>404</b>	<b>404</b>	<b>404</b>	<b>404</b>
Surface - Domestic Inspectors	150	250	250	250	250
Surface - VIPR Inspectors	75	154	154	154	154

1/ Includes a realignment of 23 FAMS canine handlers to Transportation Security Inspectors

2/ Includes 20 additional passenger screening canines.

Transportation Security Inspectors - Surface (TSI-Ss) are deployed through a risk-based approach and provide coverage of key passenger rail and mass transit rail facilities in their regions, as well as 61 High Threat Urban Areas (HTUAs), as defined by DHS. The location and number of inspectors is also determined by transit ridership, proximity to Toxic Inhalation Hazard (TIH) shipment locations (freight rail), critical infrastructure ratings, and HTUA ranking. TSI-S personnel provide stakeholder liaison functions, situational awareness of security conditions and, during surface transportation incidents, convey valuable first-hand information to Federal Security Directors (FSDs); security, policy, and intelligence offices; and TSA leadership. To ensure inspectors operate safely and appropriately in the surface transportation environment, training for TSIs-Surface is provided at a specialized Pueblo, CO facility. Training is key to ensuring that TSA has a technically proficient and agile workforce. All courses include both classroom instruction and on-site practical application exercises.

The legislation underlying 49 CFR parts 1520 and 1580, provides TSA's TSI-Ss with regulatory authority to ensure a secure chain of custody of security-sensitive material rail cars occurs between rail carriers and shippers/receivers at points of origin, delivery, and interchange. TSA's TSI-Ss observe the handling and placement of security-sensitive material rail cars and verify the paperwork at the covered facilities to ensure compliance, including reporting requirements for incidents, potential threats, and significant security concerns, and location tracking requirements. It also requires the designation of a Rail Security Coordinator by freight and passenger railroad carriers, rail transit systems, and certain hazardous materials facilities.



Responsibilities of the TSI-Ss include:

- Conducting threat and vulnerability inspections, reviews, and assessments that are used to determine the capability of a potentially targeted transportation system/asset to reduce the risk from a specified threat;
- Conducting Risk Reduction Survey assessments for railcars carrying TIH materials and shippers;
- Serving as panel members on the Transportation Security Grant Program (TSGP) to review project proposals, assess grant applications, and assist in developing a process for awarding grants;
- Responding to surface transportation security incidents (i.e., train derailments, possible improvised explosive devices, major truck accidents, etc.) to gather real-time, on-scene information which are provided to FSDs and TSA senior leadership;
- Staffing transit agency and freight rail operations centers in times of increased threat, heightened alert, or during a catastrophic event; and
- Planning, participating in, and dedicating personnel to TSA VIPR deployments.

The SIPO program conducts various types of threat and vulnerability inspections, reviews, and assessments, which include:

Freight Rail Corridor Assessments (FRCAs): TSA conducts FRCAs, which focus on assessing the vulnerabilities of high-population areas where TIH materials are moved by rail in significant quantities. The FRCAs provide site-specific mitigation strategies and lessons learned, and support the development of Security Action Items (SAIs). On-site assessments consist of a detailed examination of the railroad(s) operations and procedures within the HTUA and take approximately 4-6 weeks to complete, depending on the HTUA and complexity of the railroad operations within the corridor.

Station Criticality Assessments (SCA) also known as Station Profiles: TSI-Ss conduct SCAs, which are in-depth assessments of critical infrastructure facilities and transit stations. SCAs have gained importance with the terrorist attacks in the mass transit mode in Mumbai, Madrid, London, and Moscow. The assessments provide detailed information on a variety of station-related intelligence, such as the locations of exits, telephones, Closed Circuit Television (CCTV), electrical power, station managers, etc. The information has been extremely useful in VIPR planning, and is also relevant for first responders, intelligence planners and security personnel. The majority of stations across the Nation have been completed and are in the process of being continually updated as security enhancements are added to stations.

Baseline Assessment for Security Enhancement (BASE) Reviews: BASE reviews are comprehensive mass transit assessments that require a significant amount of time and stakeholder coordination to complete. They are voluntary on the part of the stakeholder, and therefore must be completed with consideration given to the stakeholder's availability and schedule. The Surface Transportation Security Inspection Program (STSIP) has continued the pursuit of conducting BASE reviews focusing on high-risk transit agencies that have a 60,000 average weekday ridership. TSI-S personnel conduct follow-up visits to BASE assessed transit agencies to address performance weaknesses identified by the results. The Performance Improvement Action Plan (PIAP) program is a tool utilized to monitor the efforts of transit agencies to improve security vulnerabilities discovered through BASE reviews. TSI-S personnel evaluate the transit agencies improvement efforts and prioritize lists of security

improvements necessary to make public transportation systems, facilities, and passengers more secure. TSI-S personnel work closely with transit agencies to offer additional tools and TSA programs to help bolster the low scoring sections found in the BASE.

Mass Transit System Criticality Tool (MTSCT): This is a tool designed to measure the criticality of transit assets in relation to a number of predetermined factors. TSI-S personnel work closely with transit agencies to identify key system assets and obtain asset consequence and vulnerabilities details.

Mass Transit System Risk Assessments (MTSRA): Assessments are scheduled at the program office level and coordinated through local TSI-S field offices, and require close supervision and program office oversight by subject matter experts. Risk Assessments are voluntary and require transit agency cooperation in completing. TSI-S and Surface Regional Security Inspector (RSI-S) personnel conduct these risk assessments. This tool was developed in response to the 9/11 Act, Section 1405.A.3.A (Security Assessments and Plans), and consists of ten identified assets within a mass transit system: passenger stations, tunnels, bridges, power stations, signals, track, facilities, yards, communication facilities, and vehicles. The tool includes a risk score based on threat (T), vulnerability (V), and consequence (C), with the vulnerability score broken up among 18 different asset categories, and over 1,500 vulnerability questions per category. Agency participants receive an executive summary report which outlines their T/V/C scores and will be used to meet the requirements of the upcoming Notice of Proposed Rule-Makings (NPRMs), as well as provide a prioritized list of security vulnerabilities to assist in decision-making.

In addition, with the issuance of the rail and mass transit regulation under 49 CFR 1580, TSI-Ss conduct compliance inspections throughout the freight rail and mass transit domain.

TSA, in conjunction with the private sector, developed a list of 24 Security Action Items (SAIs) and three Supplemental Security Action Items (SSAIs). These security guidelines identified best practices, which freight railroads and their employees should implement to reduce the risk associated with the transportation of TIH materials by rail. These assessments led to the development of a TIH Risk Reduction Project. Implemented in 2007, the project focuses on objectively measuring the risk reduction associated with the rail transportation of TIH materials by rail, through 46 HTUAs.

### **Visible Intermodal Prevention and Response (VIPR): \$47.8 million**

The objective of VIPR deployments in mass transit and passenger rail systems is to augment capabilities that detect and deter potential terrorist activity. To achieve this end, TSA utilizes periodic random deployments that are unpredictably executed in timing, location, and types of activities. VIPR operations teams consist of TSA personnel that may include Transportation Security Inspectors, Transportation Security Officers, Federal Air Marshals, Behavior Detection Officers, Transportation Security Specialists-Explosives, Explosives Detection Canine teams, and Federal, State and local law enforcement officers. Uniformed VIPR team members provide a visible and official security presence apparent to all who use or are observing the mass transit or passenger rail system. VIPR activities support the system's efforts to prevent an adversary from orienting on and breaching a pattern in security activities. The total number of VIPR deployments across transportation modes increased to approximately 170 to 190 per week in 2011.

**National Explosives Detection Canine Team Program (NEDCTP): \$6.7 million:**

TSA’s NEDCTP develops, trains, deploys, and certifies explosives detection canine teams to deter and detect the introduction of explosive devices into the transportation system. Each team is composed of a specially trained canine and a State or local law enforcement handler. The NEDCTP, in partnership with State and local law enforcement agencies, fulfills the need to provide effective, low-cost security measures within the mass transit/commuter rail, and maritime (ferry system) sector.

Through Other Transaction Agreements (OTAs), TSA provides funding for training, certification, and maintenance of the capable explosive detection canines, training for the handlers, and partial reimbursement of handlers’ salaries and other costs. Local law enforcement agencies deploy these canine teams and provide DHS with a mobile response platform for specific threats to the transportation systems.

<b>Explosives Detection Canine Team Assignments</b>	<b>FY 2012</b>	<b>FY 2013</b>
<b>AVIATION REGULATION &amp; ENFORCEMENT</b>		
<b>Aviation:</b> State & Local Law Enforcement-led teams <i>Funded 75% from Aviation Regulation &amp; Enforcement</i>	<b>497 teams @ 78 airports</b>	<b>497 teams @ 78 airports</b>
<b>Multi-Modal:</b> State & Local Law Enforcement-led teams	<b>21 teams @ 6 locations</b>	<b>21 teams @ 6 locations</b>
<b>Proprietary/Proprietary Multi-Modal:</b> Fed-led team	<b>23 teams @ 7 locations, 22 locations TBD</b>	<b>23 teams @ 7 locations, 22 locations TBD</b>
<b>Passenger Screening Canine Teams:</b> Fed-led teams <sup>1</sup>	<b>120 teams @ 30 airports</b>	<b>120 teams @ 30 airports,</b>
<b>AIR CARGO</b>		
<b>Legacy Cargo-Centric:</b> State & Local Law Enforcement-led teams <i>Funded 25% from Air Cargo for time spent in the Air Cargo environment.</i>	<b>Same team and location totals as Aviation Regulation</b>	<b>Same team and location totals as Aviation Regulation</b>
<b>Proprietary Cargo-Centric:</b> Federal-led teams	<b>120 teams @ 20 airports</b>	<b>120 teams @ 20 airports</b>
<b>SURFACE</b>		
<b>Mass Transit/Maritime:</b> State & Local Law Enforcement-led teams	<b>117 teams @ 18 locations</b>	<b>117 teams @ 18 locations</b>
<b>TOTAL NUMBER OF CANINE TEAMS</b>	<b>920</b>	<b>920</b>

<sup>1</sup> Passenger Screening Canine (PSC) is now used versus “Vapor wake” which is a trademarked term associated with Auburn University.

In FY 2013 the Surface Transportation Security Inspectors and Canines PPA will be reduced by \$8.9 million due to savings from the purchase of supplies and materials, as well as savings in administrative/professional support contracts. Over \$1 million will be saved through efficiencies across the DHS enterprise in areas such as TDY and overtime.

Management Efficiencies: (\$8.941million)  
(dollars in thousands)

<u>Item</u>	<u>Sub-Total</u>	<u>Total</u>
Enterprise-Wide Efficiencies		(\$ 97)
General TDY	(\$ 86)	
Overtime	(\$ 11)	
Other		(\$8,844)

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For necessary expenses of the Transportation Security Administration related to surface transportation security activities, [\$134,748,000] \$124,276,000, to remain available until September 30, [2013]2014.(*Department of Homeland Security Appropriations Act, 2012.*)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>820</b>	<b>657</b>	<b>109,108</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>807</b>	<b>775</b>	<b>134,748</b>
<b>Adjustments-to-Base</b>			
<b>Increases</b>			
2013 Pay Increase	-	-	358
<b>Total, Increases</b>	-	-	<b>358</b>
<b>Decreases</b>			
Enterprise-Wide Efficiencies	-	-	(1,401)
Admin/Professional Support Efficiencies	-	-	(127)
Management Adjustments	-	-	(9,302)
<b>Total, Decreases</b>	-	-	<b>(10,830)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(10,472)</b>
<b>FY 2013 Current Services</b>	<b>807</b>	<b>775</b>	<b>124,276</b>
<b>FY 2013 Requested Budget Authority</b>	<b>807</b>	<b>775</b>	<b>124,276</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(10,472)</b>

## C. Summary of Requirements

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	820	657	109,108
<b>FY 2012 Enacted Budget Authority</b>	807	775	134,748
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	358
Decreases	-	-	(10,830)
<b>Total, Adjustments-to-Base</b>	-	-	(10,472)
<b>FY 2013 Current Services</b>	807	775	124,276
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	807	775	124,276
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(10,472)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Staffing and operations	158	153	38,514	-	-	(1,803)	-	-	-	158	153	36,711	-	-	(1,803)
Surface Security Inspectors and Canines	649	622	96,234	-	-	(8,669)	-	-	-	649	622	87,565	-	-	(8,669)
<b>Total</b>	<b>807</b>	<b>775</b>	<b>134,748</b>	<b>-</b>	<b>-</b>	<b>(10,472)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>807</b>	<b>775</b>	<b>124,276</b>	<b>-</b>	<b>-</b>	<b>(10,472)</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS/NPPD - Detailee Patrick Kern	1	1	126,000	-	-	-	-	-	-	-	-	-
Transport Canada	-	-	200,000	-	-	-	-	-	-	-	-	-
<b>Total Budgetary Resources</b>	<b>1</b>	<b>1</b>	<b>326,000</b>	-	-	-	-	-	-	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Technical Assistance Program	1	1	326,000	-	-	-	-	-	-	-	-	-
<b>Total Obligations</b>	<b>1</b>	<b>1</b>	<b>326,000</b>	-	-	-	-	-	-	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	53,015	74,115	74,393	278
11.3 Other than full-time permanent	90	70	70	-
11.5 Other personnel compensation	819	532	523	(9)
11.6 Pay Diff (Sun/Night)	2,893	-	-	-
11.7 Military personnel/Awards	780	-	-	-
12.1 Benefits	18,252	20,695	20,773	78
<b>Total, Personnel and Other Compensation Benefits</b>	<b>75,849</b>	<b>95,412</b>	<b>95,759</b>	<b>347</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5,643	3,154	2,483	(671)
22.0 Transportation of things	19	-	-	-
23.1 GSA rent	38	200	200	-
23.2 Other rent	9	575	575	-
23.3 Communications, utilities, and misc. charges	218	577	385	(192)
24.0 Printing	9	33	29	(4)
25.1 Advisory and assistance services	8,514	-	-	-
25.2 Other services	4,810	26,099	16,835	(9,264)
25.3 Purchases from Gov't accts.	5,291	301	220	(81)
25.4 O&M of facilities	1	-	-	-
25.6 Medical care	4	-	-	-
25.7 Operation and maintenance of equipment	946	-	-	-
26.0 Supplies and materials	1,327	1,385	951	(434)
31.0 Equipment	1,886	232	141	(91)
41.0 Grants/Subsidies/Contributions	4,529	6,780	6,698	(82)
42.0 Insurance Claims and Indemnity	15	-	-	-
<b>Total, Other Object Classes</b>	<b>33,259</b>	<b>39,336</b>	<b>28,517</b>	<b>(10,819)</b>
<b>Total, Direct Obligations</b>	<b>109,108</b>	<b>134,748</b>	<b>124,276</b>	<b>(10,472)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>109,108</b>	<b>134,748</b>	<b>124,276</b>	<b>(10,472)</b>
<b>Full Time Equivalents</b>	<b>657</b>	<b>775</b>	<b>775</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
L Band	1	1	1	-
K Band	71	71	71	-
J Band	62	61	61	-
I Band	191	185	185	-
H Band	112	107	107	-
G Band	297	296	296	-
F Band	65	65	65	-
E Band	3	3	3	-
D Band	2	2	2	-
Total, SES	16	16	16	-
<b>Total Permanent Positions</b>	<b>820</b>	<b>807</b>	<b>807</b>	<b>-</b>
Unfilled Positions EOY	163	32	32	-
Total Permanent Employment EOY	657	775	775	-
Headquarters	209	208	208	-
U.S. Field	459	567	567	-
Foreign Field	152	32	32	-
<b>Total, Surface Transportation Security:</b>	<b>820</b>	<b>807</b>	<b>807</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>657</b>	<b>775</b>	<b>775</b>	<b>-</b>
Average ES Salary	161,512	164,742	164,742	-
Average Salary, Banded Positions	81,651	83,284	83,284	-
Average Band	I	I	I	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Transportation Security Administration  
Surface Transportation Security:  
Staffing and Operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	16,415	16,786	16,849	63
11.3 Other than full-time permanent	74	-	-	-
11.5 Other personnel compensation	86	-	-	-
11.6 Pay Diff (Sun/Night)	34	-	-	-
11.7 Military personnel/Awards	238	-	-	-
12.1 Benefits	4,337	6,212	6,235	23
<b>Total, Personnel and Compensation Benefits</b>	<b>21,184</b>	<b>22,998</b>	<b>23,084</b>	<b>86</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,011	1,654	1,447	(207)
23.2 Other rent	6	-	-	-
23.3 Communications, utilities, and misc. charges	6	127	111	(16)
24.0 Printing	7	31	27	(4)
25.1 Advisory and assistance services	8,514	-	-	-
25.2 Other services	3,456	13,157	11,563	(1,594)
25.3 Purchases from Gov't accts.	4,737	142	124	(18)
25.6 Medical care	2	-	-	-
25.7 Operation and maintenance of equipment	944	-	-	-
26.0 Supplies and materials	50	405	355	(50)
31.0 Equipment	91	-	-	-
42.0 Insurance Claims and Indemnity	15	-	-	-
<b>Total, Other Object Classes</b>	<b>18,839</b>	<b>15,516</b>	<b>13,627</b>	<b>(1,889)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>40,023</b>	<b>38,514</b>	<b>36,711</b>	<b>(1,803)</b>
<b>Full Time Equivalents</b>	<b>150</b>	<b>153</b>	<b>153</b>	<b>-</b>

### Staffing and Operations Mission Statement

Surface Transportation Security Staffing and Operations is charged with managing TSA's efforts to mitigate the risk and provides security direction to all non-aviation transportation systems. This responsibility covers rail, mass transit, highways, buses, trucking, ferries, and pipelines. The Surface Transportation Security Staffing and Operations office also works with industry, State and local governments, and other Federal agencies in developing standards and regulations to ensure the security of these vital transportation systems.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	16,415	16,786	16,849	63
11.3 Other than full-time permanent	74	-	-	-
11.5 Other personnel compensation	86	-	-	-
11.6 Pay Diff (Sun/Night)	34	-	-	-
11.7 Military personnel/Awards	238	-	-	-
12.1 Benefits	4,337	6,212	6,235	23
<b>Total, Salaries &amp; Benefits</b>	<b>21,184</b>	<b>22,998</b>	<b>23,084</b>	<b>86</b>

The FY 2013 request reflects Salaries and Benefits for 153 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,011</b>	<b>\$1,654</b>	<b>\$1,447</b>	<b>-\$207</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a reduction for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$6</b>	<b>\$127</b>	<b>\$111</b>	<b>-\$16</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. PDA and cell phone air time are the major items being charged to this object class. The FY 2013 request reflects Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$7</b>	<b>\$31</b>	<b>\$27</b>	<b>-\$4</b>

Printing includes all costs for printing and reproduction obtained from private sector or other federal entities. The FY 2013 request reflects a reduction for Enterprise-Wide Efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$3,456</b>	<b>\$13,157</b>	<b>\$11,563</b>	<b>-\$1,594</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The funds will be used to support security efforts in non-aviation modes including Pipelines, Maritime, Mass Transit, Rail, Highway and Motor Carrier and Postal and Shipping. The FY 2013 request reflects a reduction for Admin/Professional Support Contract Efficiencies and Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$4,737	\$142	\$124	-\$18

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The funds will be used to support partnership activities with other government agencies. The FY 2013 request reflects a reduction for Enterprise-Wide Efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$50	\$405	\$355	-\$50

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. This PPA will use these funds to acquire office supplies, education materials, training materials and any other supplies and materials. The FY 2013 request reflects a reduction for Enterprise-Wide Efficiencies.

**Department of Homeland Security**  
**Transportation Security Administration**  
**Surface Transportation Security:**  
**Surface Transportation Security Inspectors and Canines**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	36,600	57,329	57,544	215
11.3 Other than full-time permanent	16	70	70	-
11.5 Other personnel compensation	733	532	523	(9)
11.6 Pay Diff (Sun/Night)	2,859	-	-	-
11.7 Military personnel/Awards	542	-	-	-
12.1 Benefits	13,915	14,483	14,538	55
<b>Total, Personnel and Compensation Benefits</b>	<b>54,665</b>	<b>72,414</b>	<b>72,675</b>	<b>261</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,632	1,500	1,036	(464)
22.0 Transportation of things	19	-	-	-
23.1 GSA rent	38	200	200	-
23.2 Other rent	3	575	575	-
23.3 Communications, utilities, and misc. charges	212	450	274	(176)
24.0 Printing	2	2	2	-
25.2 Other services	1,354	12,942	5,272	(7,670)
25.3 Purchases from Gov't accts.	554	159	96	(63)
25.4 O&M of facilities	1	-	-	-
25.6 Medical care	2	-	-	-
25.7 Operation and maintenance of equipment	2	-	-	-
26.0 Supplies and materials	1,277	980	596	(384)
31.0 Equipment	1,795	232	141	(91)
41.0 Grants/Subsidies/Contributions	4,529	6,780	6,698	(82)
<b>Total, Other Object Classes</b>	<b>14,420</b>	<b>23,820</b>	<b>14,890</b>	<b>(8,930)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>69,085</b>	<b>96,234</b>	<b>87,565</b>	<b>(8,669)</b>
<b>Full Time Equivalents</b>	<b>507</b>	<b>622</b>	<b>622</b>	-

**Surface Transportation Security Inspectors and Canines Mission Statement**

TSA has been given the responsibility to ensure the compliance of security regulations and standards within the rail and mass transit modes. TSA will accomplish this with a cadre of 100 inspectors located at significant rail, mass transit, and transit centers across the United States.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	36,600	57,329	57,544	215
11.3 Other than full-time permanent	16	70	70	-
11.5 Other personnel compensation	733	532	523	(9)
11.6 Pay Diff (Sun/Night)	2,859	-	-	-
11.7 Military personnel/Awards	542	-	-	-
12.1 Benefits	13,915	14,483	14,538	55
<b>Total, Salaries &amp; Benefits</b>	<b>54,665</b>	<b>72,414</b>	<b>72,675</b>	<b>261</b>

The FY 2013 Salaries and Benefits request includes pay inflation of \$272,000 and a decrease of \$11,000 for overtime costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$4,632	\$1,500	\$1,036	-\$464

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. This funding will be used for local and extended travel to conduct a multitude of transit inspections program management. The FY 2013 request reflects a decrease of \$86,000 for travel costs and a decrease of \$378,000 for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$212	\$450	\$274	-\$176

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. This funding will be used for communication equipment and service cost. The FY 2013 request reflects a decrease of \$176,000 for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$1,354	\$12,942	\$5,272	-\$7,670

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects a decrease of \$7,670,000 for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$554	\$159	\$96	-\$63

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The funds will be used to support partnership activities with other government agencies. The FY 2013 request reflects a decrease of \$63,000 for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$1,277	\$980	\$596	-\$384

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request reflects a decrease of \$384,000 for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$1,795	\$232	\$141	-\$91

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects a decrease of \$91,000 for Management Adjustments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	\$4,529	\$6,780	\$6,698	-\$82

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2013 request reflects a decrease of \$82,000 Management Adjustments.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>430</b>	<b>657</b>	<b>775</b>
<b>Increases</b>			
VIPR Teams and Inspectors	227	118	
			-
<b>Subtotal, Increases</b>	<b>227</b>	<b>118</b>	<b>-</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>657</b>	<b>775</b>	<b>775</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>227</b>	<b>118</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*Transportation Security Administration  
Transportation Threat Assessment & Credentialing*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Transportation Security Administration Transportation Threat Assessment & Credentialing**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Transportation Threat Assessment & Credentialing:**

To reduce the probability of a successful terrorist or other criminal attack to the transportation system through application of threat assessment methodologies that are intended to identify known or suspected terrorist threats working or seeking access to the Nation's transportation system.

This appropriation supports compliance with:

- National Strategy for Homeland Security,
- USA PATRIOT ACT of 2001 (P.L. 107-56),
- Safe Explosives Act (P.L. 107-296),
- Aviation Transportation Security Act of 2001 (P.L. 107-71),
- Maritime Transportation Security Act of 2002 (P.L. 107-295),
- Security and Accountability For Every Port Act of 2006 (P.L. 109-347),
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (P.L. 109-59),
- Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176),
- Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-408), and
- 9/11 Commission Act of 2007 (P.L. 110-53).

The National Strategy for Homeland Security and these laws provide direction to the Federal Government to protect homeland security, placing special emphasis on deterrence, prevention, interdiction of threats, aggression, and unlawful acts directed toward the United States. The Homeland Security Presidential Directive-11 (HSPD-11), issued August 27, 2004, directed the Department of Homeland Security (DHS), in coordination with other Federal agencies, to “enhance terrorist-related threat assessment through comprehensive, coordinated procedures”.

The objective of HSPD-11 is to more effectively detect and interdict individuals known to engage in terrorist activities or those who are reasonably suspected to be doing so, or who have been engaged in terrorist activities. To that end, the broad range of existing government and private sector security measures and initiatives will be augmented by a comprehensive, coordinated and integrated threat assessment environment. Implementation of HSPD-11 must facilitate the efficient movement of people, cargo and conveyances and minimize any negative impacts on related activities. The Presidential Directive requires that these goals be achieved without compromising personal or institutional privacy and with due respect for other rights and freedoms quintessential to the American way of life.

TSA supports this directive by consolidating the management of all vetting and credentialing programs within the Office of Transportation Threat Assessment and Credentialing (TTAC). TTAC manages



several screening programs to include: Secure Flight, Aviation Workers, Flight Crew Vetting, DCA General Aviation, Indirect Air Carriers, Certified Cargo Shippers, Large Aircraft Operators, Transportation Worker Identification Credential (TWIC), Hazardous Materials Endorsement Threat Assessment Program (HTAP) and Alien Flight Student Program (AFSP).

All programs that comprise this appropriation are designed to enhance security for many components of the transportation sector (air, land, sea); and much of the risk-analysis being performed is scalable for use in other sectors of this dynamic network.

As transportation risks change, TSA's vetting programs evolve and transform to more efficiently and effectively screen individuals to mitigate risk and prevent terrorist actions on the transportation systems. On a weekly basis, TTAC pre-screens an average of 14 million air passengers, vets approximately 840,000 new records and adjudicates 9,000 regulated credential requests by reviewing and assessing intelligence, criminal, and immigration security threat assessment results. Additionally, TTAC perpetually vets over 14 million records per day and responds to over 1,000 redress requests a week.

## **B. Budget Activities:**

### Secure Flight

Under the Secure Flight Final Rule (**Federal Register**, Vol. 73, No. 209), the Secure Flight program assumes responsibility of airline passenger watch list matching from the airline industry into one program managed and operated by the Federal government. This consolidation meets the provisions outlined in the Intelligence Reform and Terrorism Prevention Act of 2004 (P.L. 108-458) and the recommendations of the 9/11 Commission. For the purpose of preventing terrorists from boarding an aircraft or accessing the sterile area of a U.S. airport, the Secure Flight program uses an automated process to match Secure Flight Passenger Data against records contained in portions of the Terrorist Screening Database (TSDB). Secure Flight began program implementation with the first domestic aircraft operator on January 27, 2009. On June 22, 2010, Secure Flight met its goal of conducting watch list matching for all domestic aircraft operator flights within, into and out of the United States, as well as international point-to-point flights between two foreign cities. On November 23, 2010, Secure Flight completed deployment to all covered foreign air carriers flying into and out of the United States. Secure Flight pre-screens more than 2 million passenger enplanements daily.

### Other Vetting

This activity incorporates personnel and operational costs of vetting operations that are not a part of any of the programs described above, as well as TTAC administrative costs and TSA's efforts to modernize its vetting infrastructure. Other Vetting initiatives include:

- Crew Vetting Program for crewmembers flying into, over, and out of the United States;
- Aviation Workers Program;
- Other Aviation Vetting Programs, including DCA Access Standard Security Program (DASSP), Private Charter Standard Security Program (PCSSP), 12/5 Standard Security Program (12/5), Maryland Three Program and Airspace Waivers;
- FAA/Airmen Certificate Vetting, and
- TTAC Infrastructure Modernization (TIM) will provide a single, uniform vetting system.

### Transportation Worker Identification Credential

The TWIC allows identity verification through the use of biometric technology and is capable of working as an integral part of access control systems deployed by the maritime transportation sector. The TWIC Final Rule was issued on January 25, 2007. The enrollment of workers, including longshoremen, truckers, port employees, and U.S. merchant mariners began in October 2007. As of December 2011, TSA had enrolled more than 2 million workers. Funds for the program come entirely from fee revenue.

The TWIC reader pilot, mandated by the SAFE Port Act of 2006, concluded on May 31, 2011. Upon completion of Departmental review, the Secretary will deliver the final reader pilot report to Congress. The pilot included several extensive laboratory reader tests including an evaluation of the ability of readers to withstand the harsh environment of many maritime facilities. Field tests were conducted at ports, individual facilities and vessel operations to assess reader function and to determine the impact on business and operations of using readers for biometric verification of identity using the TWIC. The U.S. Coast Guard, which will sponsor the anticipated TWIC reader rule, participated with TSA in the pilot.

### Hazardous Materials Endorsement Threat Assessment Program (HTAP)

The USA PATRIOT Act prohibits states from issuing a license to transport hazardous materials (hazmat) in commerce unless a determination has been made that the individual does not pose a security risk (49 U.S.C. § 5103a). The Act further requires that this risk assessment include checks of criminal history records, legal status, and relevant intelligence databases. TSA implemented the HTAP to meet this mandate and conducts a security threat assessment (STA) on anyone applying to obtain, renew or transfer a Hazardous Materials Endorsement (HME) on their state-issued Commercial Drivers License (CDL). The TSA security threat assessment includes a fingerprint-based Criminal History Records Check (CHRC), a legal status check, and checks for ties to terrorism. The program also fulfills statutory requirements under the Safe Explosives Act (P.L. 107-296) regarding transportation security issues of persons engaged in any aspect of the safe transportation of explosive materials. Operational since January 31, 2005, the program has enrolled more than 1.9 million drivers and is entirely funded by fee revenue.

### Other Vetting Fees

This category incorporates new and existing fees that were shifted from the Aviation Security and Transportation Security Support appropriations to the TTAC appropriation. These fee programs provide revenue to fund STAs and program/system functionality. These initiatives include:

- General Aviation at Ronald Reagan National Airport (previously in Aviation Security).
- Air Cargo (includes Indirect Air Cargo and Certified Cargo Screening Program, which were previously separate PPAs).
- Commercial Aviation and Airport Fee (previously Secure Identification Display Area and Sterile Area Workers), Federal Bureau of Investigation (FBI) CHRC only.
- Other Security Threat Assessments to include PCSSP; 12/5; Maryland Three Program (FBI CHRCs only); Large Aircraft Security Program (LASP); and Sensitive Security Information (SSI). LASP and SSI were previously separate PPAs.

### Alien Flight Student Program

Established under the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176), AFSP reviews and assesses biographic and biometric information of non-U.S. citizens or any other individual (specified by the Secretary of Homeland Security) applying for training in the operation of any aircraft (having a maximum certificated takeoff weight of more than 12,500 pounds) at both domestic and international Federal Aviation Administration certified flight schools. These persons are subject to an STA consisting of a CHRC through the FBI, a TECS (DHS) check through U.S. Customs and Border Patrol (CBP) for immigration status, and a TSDB check. Since its transfer to TSA from the FBI in July 2004, this program was expanded to conduct background checks of non-U.S citizens seeking flight training in aircraft weighing under 12,500. The program has processed more than 316,000 training applications.

### C. Budget Request Summary:

For FY 2013, the Transportation Security Administration requests a total budget authority for the Transportation Threat and Credentialing mandatory and discretionary appropriations of 490 positions, 464 FTE and \$272,351,000. This request consists of 435 positions, 412 FTE, and \$192,631,000 in appropriated funding; and 49 positions, 46 FTE, and \$74,720,000 in discretionary fee collections. Also included in this appropriation are 6 positions, 6 FTE and \$5,000,000 in mandatory fee collections. The total adjustments-to-base include a decrease of 24 positions, 23 FTE and \$14,040,000 in appropriated funding; an increase of 2 FTP and \$38,400,000 in fee estimates; and \$1,000,000 increase in mandatory fee estimates.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Transportation Security Administration**  
**Transportation Threat Assessment & Credentialing<sup>1</sup>**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Secure Flight	294	145	99,545	332	314	92,414	308	291	107,074	(24)	(23)	14,660	-	-	12,717	(24)	(23)	1,943
Other Vetting Programs	127	117	66,714	127	121	71,540	127	121	85,557	-	-	14,017	-	-	30,000	-	-	(15,983)
<b>Subtotal, Appropriated</b>	<b>421</b>	<b>262</b>	<b>166,259</b>	<b>459</b>	<b>435</b>	<b>163,954</b>	<b>435</b>	<b>412</b>	<b>192,631</b>	<b>(24)</b>	<b>(23)</b>	<b>28,677</b>	<b>-</b>	<b>-</b>	<b>42,717</b>	<b>(24)</b>	<b>(23)</b>	<b>(14,040)</b>
<b>Total, Discretionary Fees</b>	<b>49</b>	<b>42</b>	<b>41,810</b>	<b>47</b>	<b>46</b>	<b>36,320</b>	<b>49</b>	<b>46</b>	<b>74,720</b>	<b>-</b>	<b>-</b>	<b>38,400</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>38,400</b>
Transportation Worker Identification Credential (TWIC) - Fee	21	23	30,748	21	21	8,300	21	21	47,300	-	-	39,000	-	-	-	-	-	39,000
Hazardous Materials - Fee	17	19	9,313	17	17	12,000	17	17	12,000	-	-	-	-	-	-	-	-	-
General Aviation at DCA - Fee	-	-	2	-	-	100	-	-	100	-	-	-	-	-	-	-	-	-
Air Cargo - Fee	11	-	17	9	8	6,600	11	8	7,200	2	-	600	-	-	-	2	-	600
Commercial Aviation and Airport - Fee	-	-	1,722	-	-	8,000	-	-	8,000	-	-	-	-	-	-	-	-	-
Other Security Threat Assessments - Fee	-	-	8	-	-	1,320	-	-	120	-	-	(1,200)	-	-	-	-	-	(1,200)
<b>Subtotal, Gross Discretionary</b>	<b>470</b>	<b>304</b>	<b>208,069</b>	<b>506</b>	<b>481</b>	<b>200,274</b>	<b>484</b>	<b>458</b>	<b>267,351</b>	<b>(22)</b>	<b>(23)</b>	<b>67,077</b>	<b>-</b>	<b>-</b>	<b>42,717</b>	<b>(22)</b>	<b>(23)</b>	<b>24,360</b>
<b>Mandatory Fees</b>																		
Alien Flight School - Fee	6	4	2,750	6	6	4,000	6	6	5,000	-	-	1,000	-	-	-	-	-	1,000
<b>Subtotal, Mandatory</b>	<b>6</b>	<b>4</b>	<b>2,750</b>	<b>6</b>	<b>6</b>	<b>4,000</b>	<b>6</b>	<b>6</b>	<b>5,000</b>	<b>-</b>	<b>-</b>	<b>1,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,000</b>
<b>Total, Transportation Threat Assessment &amp; Credentialing (Budget Authority)</b>	<b>476</b>	<b>308</b>	<b>210,819</b>	<b>512</b>	<b>487</b>	<b>204,274</b>	<b>490</b>	<b>464</b>	<b>272,351</b>	<b>(22)</b>	<b>(23)</b>	<b>68,077</b>	<b>-</b>	<b>-</b>	<b>42,717</b>	<b>(22)</b>	<b>(23)</b>	<b>25,360</b>

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
<b>Less: Adjustments for Other Funding Sources (discretionary fees)</b>	-	-	(40,654)	-	-	(36,320)	-	-	(74,720)	-	-	(38,400)	-	-	0	-	-	(38,400)
Transportation Worker Identification Credential (TWIC) - Fee	-	-	(26,508)	-	-	(8,300)	-	-	(47,300)	-	-	(39,000)	-	-	-	-	-	(39,000)
Hazardous Materials - Fee	-	-	(11,160)	-	-	(12,000)	-	-	(12,000)	-	-	-	-	-	-	-	-	-
General Aviation at DCA - Fee	-	-	(267)	-	-	(100)	-	-	(100)	-	-	-	-	-	-	-	-	-
Air Cargo - Fee	-	-	-	-	-	(6,600)	-	-	(7,200)	-	-	(600)	-	-	-	2	-	(600)
Commercial Aviation and Airport - Fee	-	-	(2,696)	-	-	(8,000)	-	-	(8,000)	-	-	-	-	-	-	-	-	-
Other Security Threat Assessments - Fee	-	-	(23)	-	-	(1,320)	-	-	(120)	-	-	1,200	-	-	-	-	-	1,200
<b>Less: Adjustments for Other Funding Sources (mandatory fees)</b>																		
Alien Flight School - Fee	-	-	(5,031)	-	-	(4,000)	-	-	(5,000)	-	-	(1,000)	-	-	-	-	-	(1,000)
<b>Total TTAC (Net Discretionary)</b>	<b>470</b>	<b>304</b>	<b>167,415</b>	<b>506</b>	<b>481</b>	<b>163,954</b>	<b>484</b>	<b>458</b>	<b>192,631</b>	<b>(22)</b>	<b>(23)</b>	<b>28,677</b>	<b>-</b>	<b>-</b>	<b>42,717</b>	<b>(22)</b>	<b>(23)</b>	<b>(14,040)</b>

<sup>1</sup> The total FY 2011 – FY 2013 amounts reflect both discretionary and mandatory funding.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Transportation Security Administration**  
**Transportation Threat Assessment & Credentialing:**  
**Secure Flight**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Secure Flight**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>294</b>	<b>145</b>	<b>99,545</b>
<b>2012 Enacted Budget Authority</b>	<b>332</b>	<b>314</b>	<b>92,414</b>
2013 Adjustments-to-Base	(24)	(23)	1,943
<b>2013 Current Services</b>	<b>308</b>	<b>291</b>	<b>94,357</b>
2013 Program Change	-	-	12,717
<b>2013 Total Requested Budget Authority</b>	<b>308</b>	<b>291</b>	<b>107,074</b>
Total Change 2012 to 2013	(24)	(23)	14,660

TSA requests \$107.1 million for this activity. The adjustments-to-base include an increase of \$10.1 million for pay increases and a realignment for funding Risk Based Screening (RBS), and a \$5.6 million decrease for transfers to the Office of Intelligence and program non-recurs, and \$2.6 million in management efficiencies from administrative/professional support, supplies, materials, operations, maintenance of equipment, and other expenses. TSA requests a program increase of \$12.7 million to expand the Large Aircraft & Private Charter Screening Program.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Secure Flight's mission is to strengthen the security of commercial air travel into, out of, within, and over the United States through the use of improved and expanded watch list matching using risk-based security measures. The program's goals are to:

- Prevent individuals on the No Fly List from boarding an aircraft;
- Identify individuals on the Selectee List for enhanced screening;
- Support TSA's RBS mission by identifying high-risk passengers for appropriate security measures/actions and identifying low-risk passengers for expedited screening;
- Minimize misidentification of individuals as potential threats to aviation security; and
- Protect passengers' personal information from unauthorized use and disclosure.

Secure Flight improved the watch list matching process to more accurately identify known and suspected terrorists. As a result, these individuals receive enhanced screening and/or are prohibited from boarding an aircraft. By more accurately identifying known and suspected terrorists, the program

reduces the number of misidentifications in the matching process. The DHS Traveler Redress Inquiry Program is integrated with Secure Flight, providing a more consistent redress process for passengers who believe that they have been misidentified as a threat. To avoid misidentification on future flights, misidentified passengers use their DHS Redress Number when making an airline reservation. Further, the Secure Flight program expedites law enforcement notification and allows advance planning of operational responses by conducting watch list matching as early as 72 hours prior to flight departure time. Over 99 percent of passengers are consistently cleared automatically and immediately by the Secure Flight system.

Covered aircraft operators must collect and transmit full Secure Flight Passenger Data (SFPD) for watch list matching, including the passengers' full name, date of birth, and gender as they appear on the government-issued identification they plan to use when traveling, and Redress Number (if available). The Secure Flight program matches passenger information to components of the Terrorist Screening Database (TSDB), including the No Fly and Selectee List, maintained by the Terrorist Screening Center (TSC). Secure Flight also includes a matching function for the Centers for Disease Control and Prevention's Do Not Board List, which contains a list of individuals who pose a significant health risk to other travelers.

On November 23, 2010, more than a month ahead of schedule, Secure Flight completed deployment to all covered domestic and foreign aircraft operators flying within, into, and out of the United States. A pilot program was completed in 2011 for watch list matching of passengers aboard over-flights, which are all flights transiting over U.S. airspace, but do not take-off or land in the United States. Full implementation for all covered foreign air carriers is scheduled for 2012.

Secure Flight is currently participating in the RBS pilot. RBS provides an intelligence-driven, risk-based approach to passenger screening. This approach has the potential to improve security and the passenger experience. Eligible passengers voluntarily provide additional information prior to traveling, which allows TSA to conduct more robust passenger pre-screening and better segment the passenger population according to risk. Advanced passenger information and pre-screening may allow physical screening to be expedited for many passengers. Secure Flight will conduct watch list matching and analyze passenger risk using the additional information provided. Passenger risk level will determine the level of physical security required at the airport. The pilot results are being used to assist in the full scale RBS operations. In FY 2012, Congress appropriated \$10 million to TSA to implement RBS during FY 2012. These funds are being recurred in FY 2013 with the expectation that investments in RBS-related programs will result in net savings to TSA programs that will be realized and applied as adjustments-to-base in future fiscal years (estimated FY 2014).

In FY 2013, TSA requests funding for Secure Flight to vet passengers prior to boarding large general aviation aircraft. The Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA) mandates that TSA make watch list matching available to twelve-five, private charter, and lesser aircraft operators flying into, out of, or within the United States. TSA is promulgating a rule for general aviation large aircraft that will include provisions for this watch list matching as well as general aviation operators over 30,000 pounds. Under the rule, general aviation operators 12,500 pounds or greater, which transport people or cargo for compensation/hire will submit passenger information to Secure Flight for watch list matching. Additionally, Secure Flight will conduct watch list matching for unknown passengers on general aviation operators over 30,000 pounds that do not transport people or

cargo for compensation/hire. Collectively, these additional populations represent approximately 2,000 general aviation operators. As a result, an estimated 11 million additional SFPD sets will be submitted by these operators per year. The FY 2013 funding request will provide the necessary resources to address the modifications to the Secure Flight system, processes and procedures to support vetting these populations.

In FY 2013, the Secure Flight PPA will be reduced by \$2.6 million due to savings from the purchase of supplies/materials, and operations and maintenance of equipment, as well savings in administrative/professional support contracts. Over \$1 million will be saved through efficiencies across the DHS Enterprise in areas such as TDY and overtime.

The following table provides a further breakout of the Administrative Savings for this initiative:

Management Efficiencies - (\$2.602 Million)  
(dollars in thousands)

<u>Item</u>	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$ 1,081)
General TDY	(\$ 12)	
Overtime	(\$ 1)	
Conferences	(\$ 12)	
OFPP Directed Purchasing Savings	(\$ 1,056)	
Admin/Professional Support Contract Efficiencies		(\$ 111)
Other Management Adjustments		(\$ 1,410)



**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Other Vetting Programs  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Other Vetting Programs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>127</b>	<b>117</b>	<b>66,714</b>
<b>2012 Enacted Budget Authority</b>	<b>127</b>	<b>121</b>	<b>71,540</b>
2013 Adjustments-to-Base	-	-	(15,983)
<b>2013 Current Services</b>	<b>127</b>	<b>121</b>	<b>55,557</b>
2013 Program Change	-	-	30,000
<b>2013 Total Requested Budget Authority</b>	<b>127</b>	<b>121</b>	<b>85,557</b>
Total Change 2012 to 2013	-	-	14,017

TSA requests \$85.5 million for this activity. The adjustments-to-base include an increase of \$68,000 for Pay COLA, a decrease of \$10 million for a one-time realignment to Risk-Based Screening, and \$6.0 million for management efficiencies in administrative/professional support, supplies, materials, operations, maintenance of equipment, and other expenses. TSA requests a program increase of \$30 million for the TTAC Infrastructure Modernization program.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

This PPA will provide funding for the administrative and operational needs of the following activities:

	<b>FY 2012</b>	<b>FY 2013</b>
Aviation Workers	\$5.5	\$4.9
Crew Vetting Program	4.1	3.5
Other Aviation Vetting Programs	0.4	0.3
Admin and Operations	23.7	19.1
TTAC Infrastructure Modernization	27.8	57.7
<b>Total*</b>	<b>\$61.5</b>	<b>\$85.5</b>

\*For comparison purposes, the FY 2012 amount does not include the RBS funding of \$10 million, which is being realigned to Secure Flight in FY 2013.

The numerous small vetting programs included in the Other Vetting PPA are in operations and maintenance mode and will continue to vet the various populations each fiscal year.

Since inception of each of these programs, over 104 million names have been vetted:

Total Names Vetted Since Program Inception	
Program	Population Vet
12/5 Standard Security Program	44,322
Airspace waivers	608,192
Crew Vetting*	82,456,405
DCA Access Program	58,863
Maryland Three	2,029
Private Charter	1,237
Aviation Workers & SIDA Badges	6,786,357
Total	89,957,405

\*Air crews are vetted prior to each flight. Also please note the Crew Vetting Program (CVP) total has been adjusted (downward) based upon re-evaluations, which showed the CVP population figures from the initial fiscal years were not statistically reliable, and have therefore been removed from this total.

**Aviation Workers (AW) Program (including SIDA and other badge holders) (\$4.9M):** The AW Program includes those individuals who apply for, or are issued personnel identification media at U.S. federalized domestic airports. Prior to receiving any identification media, aviation workers must undergo a successful name-based Security Threat Assessment (STA), and if applicable, a fingerprint-based Federal Bureau of Investigations (FBI) Criminal History Records Check (CHRC). The Aviation Channeling Service Provider (ACSP) Request for Proposal was released in November 2010, which offers airport stakeholders a choice in selecting an aviation worker enrollment provider. Implementation of ACSP also provides TSA a system of record capability for these aviation related applicants. The program reviews approximately 450,000 aviation workers annually.

**Crew Vetting Program (CVP) (\$3.5M):** CVP screens flight crewmembers on flights into, out of or over the continental United States prior to an airport's release of an aircraft for takeoff. Flight crewmembers undergo a name-based STA to determine if they have a terrorist nexus and, if so, TSA would notify the air carrier that the individual cannot have access to United States airspace. The program reviews approximately 1.8 million flight crewmembers annually.

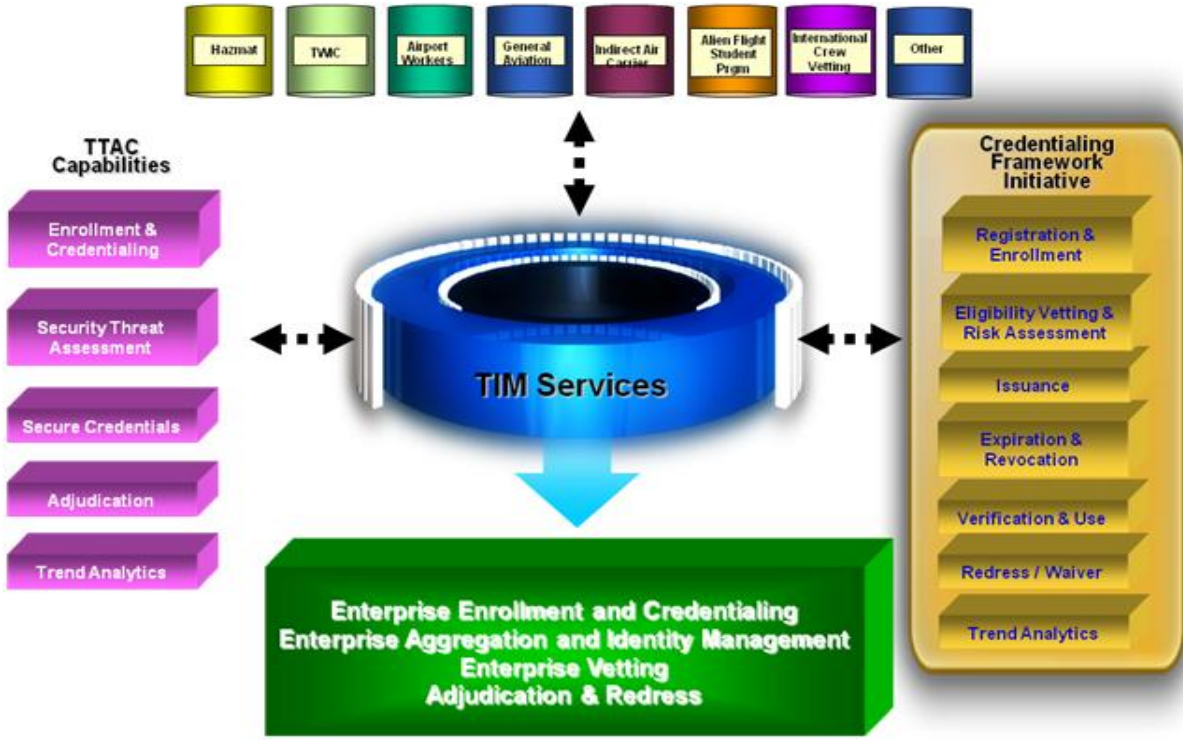
**Other Aviation Vetting Programs (\$0.3M):** Other Aviation Vetting Programs includes DCA Access Standard Security Program (DASSP); Private Charter Standard Security Program (PCSSP); 12/5; Maryland Three Airports Program, and Airspace Waivers Program. These programs all require a name-based STA. Some also require a fingerprint based CHRC. Since inception, TTAC has vetted approximately 631,000 records for the Other Aviation Vetting Programs.

**Administration and Operations (A&O) (\$19.1M):** This account includes the general administrative expenses for TTAC to include the common biometric identity initiative (formerly under the Aviation Credential Interoperability Solution sub-group). It also includes all payroll costs for administrative staff and the programs that fall under Other Vetting (the Infrastructure Modernization payroll costs are included within the TIM managing unit).

**TTAC Infrastructure Modernization (TIM) (\$57.7M):** The modernization initiative in concert with a universal fee, expected to be published in 2014, addresses and eliminates subsequent IT investments, redundant business practices and processes to achieve significant economies of scale and other benefits associated with a unifying business integration effort. The savings of moving from the current vetting infrastructure to TIM will offset the cost of the initial investment in less than 5 years after full operating capability (FOC). This does not take into account that once fully implemented, TIM will be primarily funded through user fees (up to 80%), which would increase the savings to the federal government, and offset the cost of the initial investment sooner. TIM will also allow TSA to collect additional fees by vetting populations the current systems cannot handle.

As the diagram below shows, once fully developed, TIM will:

- Combine functions and processes into a single, uniform, person centric approach with common security requirements, methods, and information; and
- Enable policy, business, systems and data integration and drive the development of person-centric information architecture in accordance with the DHS Credentialing Framework Initiative.



In turn, this will:

- Reduce the cost, risk, and time associated with implementing new business capabilities and new populations, while improving the robust nature of the architecture and on-going operations and maintenance services; and
- Eliminate redundant background checks (allowing interoperability) by working in tandem with TSA's Universal Rule initiative.

TIM will also provide the following new mission capabilities that will be available to support emerging vetting and credentialing population requirements:

- **Partner Portal Services**- a web portal for applicants to provide the required bio-graphic and bio-metric information in order to directly process enrollment requests and share status information;
- **3rd Party/External System Interface Management Services** – a system-to-system interface with the US-VISIT Automated Biometric Fingerprint Identification System (IDENT);
- **Integrated Customer Relationship Management Services** – enables improved security threat assessment workflow and more responsive customer service;
- **Enterprise Service Management** – supports the transformation of the new and legacy system components, reusing existing infrastructure elements to the extent possible, to establish enterprise level services. TTAC will standardize the system(s) across screening and credentialing programs into a single, holistic set of Service Oriented Architecture (SOA) based capabilities to meet current mission demands and to expand future mission needs; and
- **Enterprise Performance Reporting Management Service** – provides monitoring and performance management capability to support end-to-end applicant processing.

An Analysis of Alternatives (AoA) was completed in March 2011 to consider various approaches for building the system. TSA selected the most viable option and updated the life cycle cost estimates (LCCE) to reflect lower cost estimates and 10 years of cost beyond FOC, which is scheduled for 4th Quarter FY 2015; the previous LCCE only went two years beyond FOC. TIM is considered a significant DHS IT program with a forecast LCCE of \$633 million through 2025 to be funded through appropriations and fees. Approval was received by the DHS Acquisition Review Board to begin the TIM design and development contract, which is anticipated for award in February 2012 with the first Task Order to achieve Initial Operating Capability (IOC) within a 24 month period of performance (2nd quarter FY 2014). The Maritime population, served via the TWIC program, will migrate to TIM first. Additional populations will migrate to TIM within 24 months after IOC and the program will achieve FOC in the 4th Qtr FY 2015.

In concurrence with this modernization effort, TSA is working toward the implementation of a common universal fee structure that will capitalize on the capabilities of an improved vetting infrastructure. The new Universal Rule framework will establish comparable security threat assessment services for vetting activities with a common fee structure. This rulemaking effort requires the modernized capabilities of TIM to be 100 percent functional or the rule's effective date will be delayed. While the modernized platform could be utilized to process threat assessments for some regulated populations prior to the rule's effective date, those previously established vetting programs would have to continue utilizing the existing fee structures outlined in original rulemakings. Further, a

delay in completing TIM will result in a corresponding delay of security vetting for newly regulated populations, such as freight rail and mass transit populations.

The Universal Rule is anticipated to be published in the Federal Register in the first quarter FY 2014. It is anticipated that new fees will be collected for the maritime population at IOC. Program transition to the Universal Rule will begin incrementally at the beginning of FY 2014 and will continue through FY 2014. TSA will begin phasing in programs in the following order: 1) programs funded through appropriations, 2) programs funded through existing fees, and 3) programs that will require STAs on newly regulated populations. However, the capability to collect fees in support of all maritime, surface, and aviation populations would be at FOC. The fee will vary across populations depending on security threat assessment requirements.

TSA's vetting modernization is being coordinated with the Department's other ongoing information technology modernization efforts and will interact with numerous other systems such as: Treasury Enforcement Communication System, U.S. Citizens and Immigration's Systematic Alien Verification for Entitlements, U.S. VISIT's Automated Biometric Fingerprint Identification System, and the FBI's Criminal Justice Information System.

In FY 2013, the Other Vetting PPA will be reduced by \$6.0 million due to savings from the purchase of supplies and materials, operations and maintenance of equipment, as well as savings in administration/professional support contracts. Over \$4 million will be saved through efficiencies across the DHS enterprise in areas such as TDY, overtime, conferences and OFPP Purchasing savings.

The following table provides a further breakout of the Administrative Savings for this initiative:

Management Efficiencies - (\$6.051 Million)  
(dollars in thousands)

<u>Item</u>	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$ 4,125)
General TDY	(\$ 13)	
Overtime	(\$ 1)	
Conferences	(\$ 3)	
OFPP Directed Purchasing Savings	(\$ 4,108)	
Admin/Professional Support Contract Efficiencies		(\$ 432)
Management Adjustments		(\$ 1,494)

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Transportation Worker Identification Credential (TWIC) - Fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Transportation Worker Identification Credential (TWIC) – Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>21</b>	<b>23</b>	<b>30,748</b>
<b>2012 Enacted Budget Authority</b>	<b>21</b>	<b>21</b>	<b>8,300</b>
2013 Adjustments-to-Base	-	-	39,000
<b>2013 Current Services</b>	<b>21</b>	<b>21</b>	<b>47,300</b>
<b>2013 Total Requested Budget Authority</b>	<b>21</b>	<b>21</b>	<b>47,300</b>
Total Change 2012 to 2013	-	-	39,000

The Transportation Security Administration estimates fee collections of \$47.3 million for the TWIC Program. The adjustment-to-base increase of \$39 million is due to the high turnover rate in the maritime industry. Initially, fee estimates were based on an enrollment surge year followed by a decline in enrollments in subsequent years. This model has been revised to more accurately reflect employment within the maritime industry.

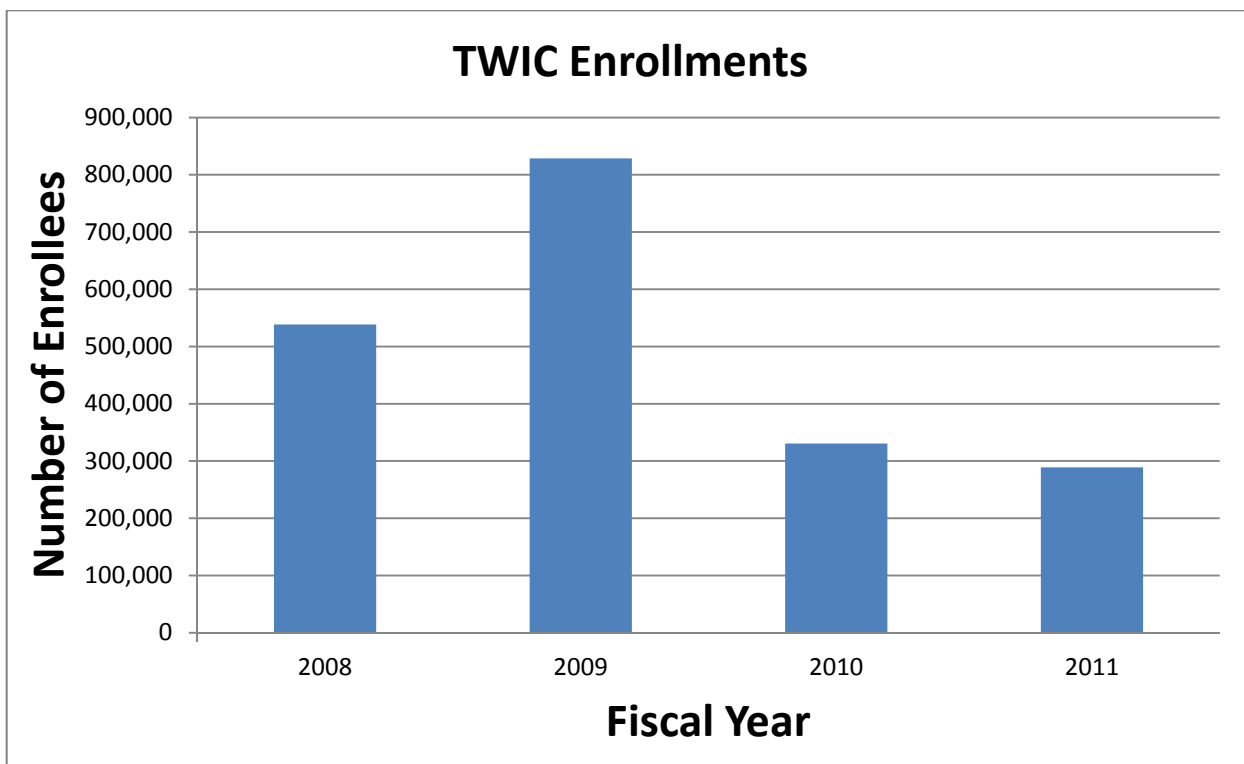
**CURRENT SERVICES PROGRAM DESCRIPTION:**

The TWIC program enhances security by providing a tamper-resistant biometric credential to maritime workers requiring unescorted access to secure areas of port facilities and vessels regulated under the Maritime Transportation Security Act of 2002 (MTSA). The program provides a common, consistent biometric credential at over 2,900 facilities and on over 14,000 vessels. When fully implemented after the promulgation of the TWIC reader rule by the U.S. Coast Guard (USCG), the program will require biometric verification of identity by facility and vessel operators as required by the rule. Prior to issuing a TWIC the program ensures the identity of each TWIC holder has been verified; a satisfactory security background check has been completed on that identity; and each credential issued is positively linked to the rightful holder through the use of biometric technology.

TWIC’s personal identity verification standards and credential issuance closely align with those of Homeland Security Presidential Directive - 12 and its implementing standard, Federal Information Processing Standard 201-1. The program specifically follows biometric standards of the American National Standards Institute for its pattern-based fingerprint format operational biometric, and was the first to adopt common biometric standards in the Federal Government. TSA continues to work with the National Institute of Standards and Technology to ensure compliance with appropriate national standards and to develop technology specifications to support the overall program. In addition, TSA

and USCG continue to work closely with the maritime, smart card, and reader industries and the TWIC Stakeholder Communications Committee.

The TWIC Program has established applicant fees to sufficiently recover the cost of providing this security service. The standard TWIC Fee is \$132.50 per applicant. A reduced TWIC fee of \$105.25 has also been established for those applicants that previously completed a comparable security threat assessment (STA). The card replacement fee is \$60.00. Beginning in FY 2012, TWIC holders applying for a Hazardous Materials Endorsement (HME) may receive their endorsement at a reduced fee in states that have elected to offer HME-TWIC security threat assessment comparability. The credential is valid for five years and revenue generated from these security fees will only be used to support the TWIC program. The final rule includes the ability to provide a discount for Free and Secure Trade (FAST) card holders, documented merchant mariners, and truckers with HMEs. The chart below shows enrollment activity since the start of the TWIC program. The increase in applicants every five years is attributed to the five-year TWIC renewal cycle; however, that pattern should flatten as a result of the normal turnover of workers in the maritime industry. In FY 2011, TSA processed 288,778 TWIC applicants.



TWIC has enrolled over 2.0 million workers as of December 2011. The TWIC program will be transitioning from its existing enrollment contract, which only provides TWIC services, to a universal enrollment contract, which will eventually expand to include both TWIC and HME enrollment services. In FY 2012, TSA plans to increase enrollment centers by 50 percent.

In FY 2008, Congress provided \$8.1 million in two-year appropriated funding for TSA to implement an access control technology pilot to test biometric technologies within the TWIC program. Of the \$8.1 million appropriation, \$2 million was obligated to support the program's administrative efforts for the pilot and \$6.1 million was obligated for work and test equipment at facilities and vessels participating in the test. The pilot concluded on May 31, 2011 having conducted various laboratory tests of readers and field tests at ports, facilities and vessel operations in the following locations: New York/New Jersey; Annapolis, MD; New Orleans, LA; Vicksburg, MS; Brownsville, TX; and, Los Angeles and Long Beach, CA. The final report for Congress is currently under review.

Prior to promulgating the TWIC reader rule, to fully leverage the security benefit of the TWIC, the USCG has authorized the use of TWIC readers in place of the current requirement to visually inspect the card prior to allowing access to secure areas. Additionally, the USCG is currently verifying compliance with the TWIC requirements through electronic validation during vessel and facility compliance exams and/or security spot checks. Through the use of approximately 250 handheld readers for TWIC verification, the USCG is maximizing the use of the security features of the credential.

In FY 2013, the TIM program will begin building the framework to transition TWIC to the TTAC Modernization system.



**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Hazardous Materials - Fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Hazardous Materials – Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>17</b>	<b>19</b>	<b>9,313</b>
<b>2012 Enacted Budget Authority</b>	<b>17</b>	<b>17</b>	<b>12,000</b>
<b>2013 Current Services</b>	<b>17</b>	<b>17</b>	<b>12,000</b>
<b>2013 Total Requested Budget Authority</b>	<b>17</b>	<b>17</b>	<b>12,000</b>
Total Change 2012 to 2013	-	-	-

The Transportation Security Administration estimates fee collection of \$12.0 million in the Hazardous Materials Endorsement Threat Assessment Program (HTAP).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The HTAP was established to fulfill the statutory requirements of both the USA PATRIOT (P.L. 107-56) and Safe Explosives Acts (P.L. 107-296) to further protect against the threats to transportation posed by terrorists, dangerous criminals, and illegal aliens that may attempt to transport hazardous materials in commerce.

The program is funded through fee revenue that consists of three elements: 1) the cost for collecting and processing fingerprint and application information; 2) the fee the Federal Bureau of Investigation (FBI) charges to run the fingerprints against the criminal history records; and 3) a Transportation Security Administration (TSA) program fee to cover costs to administer the program, including conducting the Security Threat Assessments (STAs). Payment of the Federal fee is a requirement to undergo the TSA STA.

States must forward biographic and biometric (fingerprint) information to TSA in an approved and established format to facilitate the STA process. Currently, 12 states collect the required biographic information and biometric data through their individually established and maintained programs while 38 states and the District of Columbia have elected to utilize the TSA-contracted agent. Additionally, drivers registered in a state serviced by the TSA Agent may be fingerprinted in any other state serviced by the TSA Agent.

The HTAP has a robust redress process, including appeals, waivers, and Administrative Law Judge review. The program conducted threat assessments on 293,000 applicants during FY 2011, a

continued increase from the program's inception that confirms the vital role of improving the safety and protection of passengers and freight traveling on our Nation's highways. TTAC has processed over 1.9 million applications since January 2005.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
General Aviation- Fee  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: General Aviation at DCA – Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>2</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>100</b>
<b>2013 Current Services</b>	-	-	<b>100</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>100</b>
Total Change 2012 to 2013	-	-	-

The Transportation Security Administration (TSA) requests \$100,000 in fee collection authority to support General Aviation security threat assessment (STA) vetting and program management activities.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

This offsetting collection supports General Aviation flights into Ronald Reagan National Airport (DCA) as provided by the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176). The DCA Access Standard Security Program (DASSP) conducts name-based STAs for all flight crewmembers and passengers including security coordinators and armed security officers on non-commercial aircraft (non-cargo) flying into or out of DCA from one of the 28 domestic gateway airports. TSA levies a \$15 fee for each person onboard the flight, a \$490 fee for training of armed security officers, and a \$296 fee per roundtrip is charged to flight operators for the screening personnel and equipment used to support such flights at DCA. This fee is used to cover costs for Transportation Security Network Management (TSNM), Federal Air Marshals, as well as the STA. TTAC vetted over 10,200 General Aviation - DCA passenger and crew in FY 2011 and has vetted over 47,100 General Aviation – DCA passengers and crew in the DCA Access Standard Security Program (DASSP) since inception in October 2005.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Air Cargo - Fee  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Air Cargo - Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>11</b>	<b>-</b>	<b>17</b>
<b>2012 Enacted Budget Authority</b>	<b>9</b>	<b>8</b>	<b>6,600</b>
2013 Adjustments-to-Base	2	-	600
<b>2013 Current Services</b>	<b>11</b>	<b>8</b>	<b>7,200</b>
<b>2013 Total Requested Budget Authority</b>	<b>11</b>	<b>8</b>	<b>7,200</b>
Total Change 2012 to 2013	2	-	600

Transportation Security Administration (TSA) requests \$7.2 million in fee collection authority to support the Air Cargo (AC) program. In FY 2013, the AC program includes Indirect Air Cargo (IAC) and Certified Cargo Screening Program (CCSP). In prior years, IAC and CCSP were separate PPAs.

(dollars in thousands)

<b>Air Cargo Programs</b>	<b>FY 2012</b>			<b>FY 2013</b>		
	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
Indirect Air Cargo	3	2	1,400	0	0	0
Certified Cargo Screening Program	6	6	5,200	0	0	0
Air Cargo				11	8	7,200
<b>Total</b>	<b>9</b>	<b>8</b>	<b>6,600</b>	<b>11</b>	<b>8</b>	<b>7,200</b>

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The AC program provides for fee collections supporting security threat assessments (STA) of air cargo workers in the air cargo supply chain, including individuals authorized to screen cargo at designated cargo screening facilities. In FY 2013, TSA will charge a \$41 per assessment fee to offset costs for conducting the STA and program management costs. The new fee structure is based on revised cost and population estimates analysis conducted in support of the Air Cargo Screening Final Rule, which

was published in August 2011. The final fee structure will be published during FY 2012. Currently, this program is funded through the Aviation Security Appropriation and there are no STA fees for applicants. Once the Air Cargo final fee is published, the program will be entirely funded through fees.

The total FY 2013 fee collections are estimated to be \$7.2 million, \$5 million through IAC screening and \$2.2 million from CCSP. In FY 2011, 91,483 new IAC applicants and 10,082 new CCSP applicants were processed. Since inception, TTAC has vetted over 443,959 IAC applicants and 33,314 CCSP applicants. The FY 2013 collection estimate is based on 174,962 applicants at a fee of \$41.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Commercial Aviation and Airport - Fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Commercial Aviation and Airport – Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>1,722</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>8,000</b>
<b>2013 Current Services</b>	-	-	<b>8,000</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>8,000</b>
Total Change 2012 to 2013	-	-	-

The Transportation Security Administration requests \$8.0 million in fee collection authority to support the Secure Identification Display Area (SIDA) and Aviation Workers (AW) airport employee checks through the Commercial Aviation and Airport Fee program.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Commercial Aviation and Airport Fee program, previously named the SIDA PPA, includes those individuals who apply for, or are issued, personnel identification media at U.S. domestic airports (e.g., airport facilities workers, retail employees, airline employees, taxi drivers, parking attendants, etc.). Prior to receiving any identification media, AW must undergo a successful name-based security threat assessment (STA). Depending on the access level granted to the airport worker, the individual may also be required to have a fingerprint based Federal Bureau of Investigation Criminal History Record Check (CHRC). This population will eventually be covered under the Universal Rule. Total current badged Aviation Worker population is currently 2.2 million with approximately 450,000 new applicants per year. The FY 2013 estimate is based on 463,700 new applicants at a fee of \$17.25 per applicant.

In FY 2012 the Aviation Channeling Services Provider services will be expanded to provide airports and aircraft operators a choice from among three TSA Designated Aviation Channelers (DACs). Additionally, the program will also process STAs for the general aviation population.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Other Security Threat Assessments - Fee  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Other Security Threat Assessments – Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>8</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>1,320</b>
2013 Adjustments-to-Base	-	-	(1,200)
<b>2013 Current Services</b>	-	-	<b>120</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>120</b>
Total Change 2012 to 2013	-	-	(1,200)

The Transportation Security Administration requests \$120,000 in fee collection authority to support Other Security Threat Assessments (OSTA). In FY 2013, OSTA will also include the Large Aircraft Security Program (LASP) and Sensitive Security Information (SSI), which were separate PPAs in prior years.

<b>Other Security Threat Assessments Programs</b>	<b>FY 2012</b>			<b>FY 2013</b>		
	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
Large Aircraft Security Program	0	0	1,200	0	0	0
Sensitive Security Information	0	0	20	0	0	0
Other Security Threat Assessments Program	0	0	100	0	0	120
<b>Total</b>	<b>0</b>	<b>0</b>	<b>1,320</b>	<b>0</b>	<b>0</b>	<b>120</b>

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The OSTA fees fund the 12/5, Private Charter Standard Security Program (PCSSP), Maryland-Three (MD-3), Airspace Waivers (ASW), LASP and SSI.

The 12/5 program conducts STAs for flight crewmembers operating (e.g., cockpit crew, airline personnel authorized in the cockpit, cargo carrier employees) aircraft with a maximum certificated takeoff weight of 12,500 pounds or more. Annual population for the 12/5 program is approximately 2,500 applicants. Each program conducts security threat assessments (STAs) for regulated parties.

The PCSSP program is for private charter flight crewmembers operating aircraft with a maximum certificated takeoff weight of 45,000kg (100,309 pounds) or more, or a passenger-seating configuration of 61 or more, or whose passengers are enplaned from or deplaned into a sterile area. PCSSP does not include government charters.

The MD-3 program applies to pilots who operate aircraft and apply for privileges to fly to or from the three General Aviation airports in the Washington, D.C. restricted flight zones (Potomac Airport, Washington Executive/Hyde Field, and College Park Airport).

The ASW program, in conjunction with the Federal Aviation Administration, conducts STAs for domestic and international flight crew members and passengers for access to: certain operational areas of Ronald Reagan Washington National Airport, access to restricted Washington, D.C. flight restricted zones, major sporting events, Disney theme parks, flight training, and special events.

The LASP program will provide for the fee collections to fund STAs for the large aircraft security program. Vetting costs are currently supported by the Transportation Security Network Management General Aviation (GA) appropriation. Fee collection was originally anticipated in FY 2012, however, fee collection will begin after the Notice of Proposed Rulemaking (NPRM) is approved, and with the Universal Rule in FY 2014.

The original LASP NPRM included language to require all U.S. operators of aircraft over 12,500 maximum gross take-off weight (MTOW) to adopt and implement a TSA-approved security program. Subsequent to industry feedback and comments, TSA drafted a Supplemental Notice of Proposed Rulemaking (SNPRM) which is currently under review by Department of Homeland Security. The SNPRM modifies the MTOW threshold from 12,500 pounds to 30,000 pounds. Operators having an MTOW over 30,000 pounds will be required to adopt a TSA approved security program, the GA 30 Security Program, which will be similar to the current process for U.S. air carriers and commercial operators. The SNPRM also proposes that GA operators transporting persons or cargo for compensation/hire in an aircraft with an MTOW over 12,500 pounds adopt a 12/5 Security Program and a Private Charter/Compensation or Hire Security Program, as necessary, which will have specific requirements and checks for each population as determined by TSA. The LASP NPRM is currently under coordination between DHS and TSA, and is anticipated to be released in FY 2012 to begin collecting fees for LASP.

TSA is collecting the SSI fee to fund the STAs and the Federal Bureau of Investigation (FBI) Criminal History Record Checks (CHRC) for those individuals who require access to SSI. TSA conducted over 150,000 STAs for the OSTA population and 3,080 SSI vets in FY 2011. The FY 2013 estimate is based on 5,500 applicants with the FBI CHRC requirement at a fee of \$17.25.



**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Alien Flight School - Fee  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Alien Flight School – Fee**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>6</b>	<b>4</b>	<b>2,750</b>
<b>2012 Enacted Budget Authority</b>	<b>6</b>	<b>6</b>	<b>4,000</b>
2013 Adjustments-to-Base	-	-	1,000
<b>2013 Current Services</b>	<b>6</b>	<b>6</b>	<b>5,000</b>
<b>2013 Total Requested Budget Authority</b>	<b>6</b>	<b>6</b>	<b>5,000</b>
Total Change 2012 to 2013	-	-	1,000

The Transportation Security Administration estimates \$5.0 million in fee collection for the Alien Flight Student Program (AFSP).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Applying for flight training in the United States or abroad at Federal Aviation Administration (FAA) certified flight training locations. Applicants are subject to a security threat assessment (STA) in accordance with Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176). AFSP applicants identified as a “threat to aviation or national security under this program will be denied training.

The program reviews and assesses both biographic and biometric information to identify individuals who pose a security threat. Prior to the September 11, 2001 attacks, there were no systematic security checks performed on non-U.S. citizens applying for FAA certified flight training in the United States or abroad.

Section 612 of the Vision 100 – Century of Aviation Reauthorization Act (P.L. 108-176) transferred the function for screening AFSP applicants from the Attorney General to the Secretary of the Department of Homeland Security (and subsequently delegated to the TSA). The Act also gives the Secretary of Homeland Security the authority to establish a fee to offset costs of vetting AFSP applicants.

AFSP currently collects a fee of \$130 per basic applicant. This fee includes \$112.75 for extensive TSA international and domestic threat assessments, and \$17.25 for a Federal Bureau of Investigation (FBI) Criminal History Record Check (CHRC). On May 13, 2009, AFSP also began collecting a fee of \$70 per recurrent applicant. Fees collected for AFSP support the enrollment, vetting and adjudication of flight training applicants and program management support. AFSP applicants, who require training for a new skill set, will also be required to undergo a fingerprint based FBI CHRC. Operational since 2004, AFSP has processed more than 316,000 applications, including over 47,400 flight training fee applications in FY 2011. AFSP is entirely funded by fee revenue.

## IV. Program Justification Changes

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Expand Secure Flight/Large Aircraft and Charter Screening Program  
PPA: Secure Flight  
Program Increase: Positions 0, FTE 0, Dollars \$12,717

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	12,717
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>12,717</b>

### Description of Item

The total cost of the Large Aircraft & Private Charter Passenger Screening Program request is \$12.7 million.

The 2004 Intelligence Reform and Terrorism Prevention Act (IRTPA) mandates that DHS make advanced passenger prescreening available to charter and lessors of aircraft greater than 12,500 pounds flying into, out of, or within the United States. TSA is promulgating the General Aviation Security Rule supporting these provisions of IRTPA as well as additional regulations for aircraft over 30,000 pounds. The rule is anticipated to be published by February 2013.

The additional Secure Flight watch list matching requirements necessitate increased IT systems capability. The requested funding will allow TSA to purchase the hardware and software necessary to meet the critical Secure Flight system requirements to handle the anticipated 11 million additional passengers per year who will be covered, adding a significant layer to TSA's aviation security operations. Expanding watch list matching to these new populations will mitigate the risk to aviation passenger safety, by enabling TSA to better identify individuals who may present a threat to passenger air travel.

General aviation aircraft over 12,500 pounds, which transport people or cargo for compensation/hire will be required to submit passenger data to Secure Flight for watch list matching. For general aviation

aircraft over 30,000 pounds that transport people or cargo not for compensation/hire, Secure Flight will be required to perform prescreening of passengers that are unknown to a Validated General Aviation Pilot (VGAP). For example, personal or corporate owned aircraft over 30,000 pounds that transport passengers will be subject to these requirements. Under the proposed rule, VGAP will be a voluntary program for general aviation pilots. These pilots will be subject to enhanced security review by TSA, which will allow the pilot to board passengers known to the pilot without watch list matching for those passengers. If the pilot is not a VGAP, Secure Flight will be required to watch list match all passengers.

### **Justification**

Vetting passengers on large general aviation aircraft against the No-fly and Selectee lists adds a significant layer of security to stop terrorists from exploiting the general aviation system.

This funding will also allow TSA to discontinue distributing the Watch List to the general aviation operators, greatly reducing the potential for unauthorized use and distribution.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

This funding is necessary to meet the IRTPA mandate, implement the General Aviation Security Rulemaking provisions and achieve 100% performance of vetting all air carrier passengers.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** TTAC Infrastructure Modernization (TIM)  
 PPA: Other Vetting/Screening Administration and Operations  
 Program Increase: Positions 0, FTE 0, Dollars \$30,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	27,700
Program Increase							-	-	30,000
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>57,700</b>

**Description of Item**

The TIM Program requires a base restoration of \$30.0 million in FY 2013. In FY 2012 base funding for the TIM program was reduced as a result of necessary revisions to the TIM development and implementation schedule. With the award of the development contract expected in February 2012, the program will need the \$30.0 million reinstated to the program's base in order to complete the development and implementation of the TIM program. The modernization initiative in concert with a universal fee, expected to be published in 2014, addresses and eliminates subsequent IT investments, redundant business practices and processes to achieve significant economies of scale and other benefits associated with a unifying business integration effort.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

If funding is not received, the TIM program will be delayed, and TSA will have to continue to use the eight individual stove-pipe systems to process enrollment, vetting, adjudication and redress functions. Delaying the TIM program will also delay the use of the Universal Rule, which is being developed to establish comparable security threat assessment service for vetting activities with a common fee structure. The use of the rulemaking effort requires the TIM efforts to be 100 percent functional prior to implementation of the Universal Rule. As a result the savings that would be generated in the TTAC appropriated funding would be delayed, since programs, such as Aviation Workers, would not be able to begin charging user-fees until Universal Rule is established.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For necessary expenses for the development and implementation of screening programs of the Office of Transportation Threat Assessment and Credentialing, [\$163,954,000] *\$192,631,000*, to remain available until September 30, [2013] *2014*. (*Department of Homeland Security Appropriations Act, 2012.*)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing<sup>1</sup>  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations<sup>2</sup></b>	<b>476</b>	<b>308</b>	<b>210,819</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>512</b>	<b>487</b>	<b>204,274</b>
<b>Adjustments-to-Base</b>			
<b>Transfers</b>			
Transfer from TTAC to Support	(24)	(23)	(2,551)
<b>Total, Transfers</b>	<b>(24)</b>	<b>(23)</b>	<b>(2,551)</b>
<b>Increases</b>			
2013 Pay Increase	-	-	207
Fee Adjustment	2	-	39,400
<b>Total, Increases</b>	<b>2</b>	<b>-</b>	<b>39,607</b>
<b>Decreases</b>			
FY13 Non-Recur (RBS)	-	-	(3,043)
Enterprise-wide Efficiencies	-	-	(5,206)
Admin/Professional Support Efficiencies	-	-	(543)
Management Adjustments	-	-	(2,904)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(11,696)</b>
<b>Total, Adjustments-to-Base</b>	<b>(22)</b>	<b>(23)</b>	<b>25,360</b>
<b>FY 2013 Current Services</b>	<b>490</b>	<b>464</b>	<b>229,634</b>
<b>Program Changes</b>			
<b>Increases</b>			
Expand Secure Flight/Large Aircraft and Charter Screening Program	-	-	12,717
TTAC Infrastructure Modernization	-	-	30,000
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>42,717</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>42,717</b>
<b>FY 2013 Requested Budget Authority</b>	<b>490</b>	<b>464</b>	<b>272,351</b>

<sup>1</sup> The total FY 2011 – FY 2013 amounts reflect both discretionary and mandatory funding.

<sup>2</sup> The FY 2011 total obligations also include an additional \$121,000 from older accounts. Total FY 2011 obligations are \$210.9 million in total budget authority.

## C. Summary of Requirements

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Summary of Requirements  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations<sup>1</sup></b>	<b>476</b>	<b>308</b>	<b>210,819</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>512</b>	<b>487</b>	<b>204,274</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
Transfers	(24)	(23)	(2,551)
Increases	2	-	49,607
Decreases	-	-	(21,696)
<b>Total, Adjustments-to-Base</b>	<b>(22)</b>	<b>(23)</b>	<b>25,360</b>
<b>FY 2013 Current Services</b>	<b>490</b>	<b>464</b>	<b>229,634</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
Increases	-	-	42,717
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>42,717</b>
<b>FY 2013 Requested Budget Authority</b>	<b>490</b>	<b>464</b>	<b>272,351</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(22)</b>	<b>(23)</b>	<b>68,077</b>



Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Secure Flight	332	314	92,414	(24)	(23)	1,943	-	-	12,717	308	291	107,074	(24)	(23)	14,660
Other Vetting Programs	127	121	71,540	-	-	(15,983)	-	-	30,000	127	121	85,557	-	-	14,017
Transportation Worker Identification Credential (TWIC) – fee	21	21	8,300	-	-	39,000	-	-	-	21	21	47,300	-	-	39,000
Hazardous Materials - Fee	17	17	12,000	-	-	-	-	-	-	17	17	12,000	-	-	-
General Aviation at DCA – Fee	-	-	100	-	-	-	-	-	-	-	-	100	-	-	-
Air Cargo - Fee	9	8	6,600	2	-	600	-	-	-	11	8	7,200	2	-	600
Commercial Aviation and Airport Fee	-	-	8,000	-	-	-	-	-	-	-	-	8,000	-	-	-
Other Security Threat Assessments-fee	-	-	1,320	-	-	(1,200)	-	-	-	-	-	120	-	-	(1,200)
Alien Flight School - mandatory fee	6	6	4,000	-	-	1,000	-	-	-	6	6	5,000	-	-	1,000
<b>Total</b>	<b>512</b>	<b>487</b>	<b>204,274</b>	<b>(22)</b>	<b>(23)</b>	<b>25,360</b>	<b>-</b>	<b>-</b>	<b>42,717</b>	<b>490</b>	<b>464</b>	<b>272,351</b>	<b>(22)</b>	<b>(23)</b>	<b>68,077</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Department of Homeland Security - National Protection & Program Dir.	-	-	4,104	-	-	4,400	-	-	4,400	-	-	-
Department of Homeland Security - OCIO	-	-	51	-	-	-	-	-	-	-	-	-
Department of Homeland Security - US Visit	-	-	716	-	-	1,700	-	-	1,700	-	-	-
Department of Transportation - Federal Aviation Administration	-	-	-	-	-	500	-	-	-	-	-	(500)
<b>Total Budgetary Resources</b>	-	-	<b>4,871</b>	-	-	<b>6,600</b>	-	-	<b>6,100</b>	-	-	<b>(500)</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Other Vetting/Screening Administration and Operations	-	-	4,871	-	-	6,600	-	-	6,100	-	-	(500)
<b>Total Obligations</b>	-	-	<b>4,871</b>	-	-	<b>6,600</b>	-	-	<b>6,100</b>	-	-	<b>(500)</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing<sup>1</sup>**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations <sup>2</sup>	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	32,107	49,432	47,600	(1,832)
11.3 Other than full-time permanent	227	-	-	-
11.5 Other personnel compensation	575	1,298	1,278	(20)
11.6 Pay Diff (Sun/Night)	251	75	-	(75)
11.7 Military personnel/Awards	435	555	250	(305)
12.1 Benefits	8,888	13,318	13,204	(114)
<b>Total, Personnel and Other Compensation Benefits</b>	<b>42,483</b>	<b>64,678</b>	<b>62,332</b>	<b>(2,346)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	526	715	797	82
22.0 Transportation of things	193	295	306	11
23.2 Other rent	4,853	5,100	5,600	500
23.3 Communications, utilities, and misc. charges	169	603	903	300
24.0 Printing	4	-	-	-
25.1 Advisory and assistance services	32,970	41,390	51,110	9,720
25.2 Other services	50,140	59,301	79,856	20,555
25.3 Purchases from Gov't accts.	5,258	75	7,985	7,910
25.4 O&M of facilities	1,312	3,600	4,100	500
25.7 Operation and maintenance of equipment	11,361	2,700	18,158	15,458
26.0 Supplies and materials	192	415	510	95
31.0 Equipment	61,356	25,402	40,694	15,292
42.0 Insurance Claims and Indemnity	2	-	-	-
<b>Total, Other Object Classes</b>	<b>168,336</b>	<b>139,596</b>	<b>210,019</b>	<b>70,423</b>
<b>Total, Direct Obligations</b>	<b>210,819</b>	<b>204,274</b>	<b>272,351</b>	<b>68,077</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>210,819</b>	<b>204,274</b>	<b>272,351</b>	<b>68,077</b>
<b>Full Time Equivalents</b>	<b>308</b>	<b>487</b>	<b>464</b>	<b>(23)</b>

<sup>1</sup> The total FY 2011 – FY 2013 amounts reflect both discretionary and mandatory funding.

<sup>2</sup> The FY 2011 total obligations also include an additional \$121,000 from older accounts. Total FY 2011 obligations are \$210.9 million in total budget authority.

## F. Permanent Positions by Grade

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
L Band	7	7	7	-
K Band	70	70	70	-
J Band	113	140	142	2
I Band	59	69	63	(6)
H Band	85	85	97	12
G Band	70	70	50	(20)
F Band	41	41	30	(11)
E Band	29	29	29	-
Total, SES	2	1	2	1
<b>Total Permanent Positions</b>	<b>476</b>	<b>512</b>	<b>490</b>	<b>(22)</b>
Unfilled Positions EOY	168	25	26	1
Total Permanent Employment EOY	308	487	464	(23)
Headquarters	476	512	490	(22)
<b>Total, Transportation Threat Assessment &amp; Credentialing:</b>	<b>476</b>	<b>512</b>	<b>490</b>	<b>(22)</b>
<b>Full Time Equivalents</b>	<b>308</b>	<b>487</b>	<b>464</b>	<b>(23)</b>
Average ES Salary	170,712	170,712	170,712	-
Average Salary, Banded Positions	101,351	101,351	101,351	-
Average Band	J	J	J	

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Secure Flight  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	14,135	30,853	28,986	(1,867)
11.3 Other than full-time permanent	2	-	-	-
11.5 Other personnel compensation	512	525	500	(25)
11.6 Pay Diff (Sun/Night)	71	75	-	(75)
11.7 Military personnel/Awards	147	300	-	(300)
12.1 Benefits	3,980	7,946	7,800	(146)
<b>Total, Personnel and Compensation Benefits</b>	<b>18,847</b>	<b>39,699</b>	<b>37,286</b>	<b>(2,413)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	181	175	200	25
22.0 Transportation of things	7	5	5	-
23.2 Other rent	3,689	4,000	4,500	500
23.3 Communications, utilities, and misc. charges	102	500	800	300
24.0 Printing	1	-	-	-
25.1 Advisory and assistance services	29,502	29,500	28,086	(1,414)
25.2 Other services	19	1,895	1,500	(395)
25.3 Purchases from Gov't accts.	2	-	-	-
25.4 O&M of facilities	1,223	3,500	4,000	500
25.7 Operation and maintenance of equipment	7	1,000	3,958	2,958
26.0 Supplies and materials	75	200	225	25
31.0 Equipment	45,890	11,940	26,514	14,574
<b>Total, Other Object Classes</b>	<b>80,698</b>	<b>52,715</b>	<b>69,788</b>	<b>17,073</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>99,545</b>	<b>92,414</b>	<b>107,074</b>	<b>14,660</b>
<b>Full Time Equivalent</b>	<b>145</b>	<b>314</b>	<b>291</b>	<b>(23)</b>

### Secure Flight Mission Statement

The mission of the Secure Flight Program is to significantly improve the Federal Government's ability to prevent terrorists from boarding aircraft, help move passengers through airport screening more quickly, and reduce the number of individuals selected for secondary screening, while fully protecting passengers' privacy and civil liberties.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	14,135	30,853	28,986	(1,867)
11.3 Other than full-time permanent	2	-	-	-
11.5 Other personnel compensation	512	525	500	(25)
11.6 Pay Diff (Sun/Night)	71	75	-	(75)
11.7 Military personnel/Awards	147	300	-	(300)
12.1 Benefits	3,980	7,946	7,800	(146)
<b>Total, Salaries &amp; Benefits</b>	<b>18,847</b>	<b>39,699</b>	<b>37,286</b>	<b>(2,413)</b>

The FY 2013 request provides for the personnel realignment to the Office of Intelligence PPA in the Support Appropriation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$181</b>	<b>\$175</b>	<b>\$200</b>	<b>\$25</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$3,689</b>	<b>\$4,000</b>	<b>\$4,500</b>	<b>\$500</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$102</b>	<b>\$500</b>	<b>\$800</b>	<b>\$300</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, and utility services. TSA is dependent upon communications lines and utilities to run the Secure Flight platform.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$29,502</b>	<b>\$29,500</b>	<b>\$28,086</b>	<b>-\$1,414</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. The FY 2013 request reflects the results of the balanced workforce strategy, Enterprise-Wide efficiencies and administrative/professional support efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$19	\$1,895	\$1,500	-\$395

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services will be the primary vehicle by which the Secure Flight program will be implemented and operated in regard to connectivity with air carriers and the processing of security checks. The FY 2013 request reflects the results of the balanced workforce strategy.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$1,223	\$3,500	\$4,000	\$500

Provides for the operation and maintenance of information technology systems used to support the Secure Flight program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$7	\$1,000	\$3,958	\$2,958

Provides for the operation and maintenance of equipment used to support the Secure Flight program. The FY 2013 request reflects Risk Based Screening and the implementation of the Large Aircraft & Private Charter Passenger Screening Program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$75	\$200	\$225	\$25

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$45,890	\$11,940	\$26,514	\$14,574

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. These costs include equipment that will be purchased for the Secure Flight program outside of contracts for rollout and sustainment of the program. The FY 2013 request reflects Risk Based Security and the implementation of the Large Aircraft & Private Charter Passenger Screening Program.



**Department of Homeland Security**  
**Transportation Security Administration**  
**Transportation Threat Assessment & Credentialing:**  
**Other Vetting Programs**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	12,952	13,219	13,270	51
11.3 Other than full-time permanent	214	-	-	-
11.5 Other personnel compensation	63	665	670	5
11.6 Pay Diff (Sun/Night)	98	-	-	-
11.7 Military personnel/Awards	237	225	225	-
12.1 Benefits	3,481	3,948	3,959	11
<b>Total, Personnel and Compensation Benefits</b>	<b>17,045</b>	<b>18,057</b>	<b>18,124</b>	<b>67</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	191	235	241	6
22.0 Transportation of things	11	30	41	11
23.2 Other rent	943	1,000	1,000	-
23.3 Communications, utilities, and misc. charges	48	100	100	-
24.0 Printing	3	-	-	-
25.1 Advisory and assistance services	1,565	10,450	10,850	400
25.2 Other services	32,603	28,800	42,251	13,451
25.3 Purchases from Gov't accts.	29	-	-	-
25.4 O&M of facilities	89	100	100	-
25.7 Operation and maintenance of equipment	9	200	200	-
26.0 Supplies and materials	109	120	120	-
31.0 Equipment	14,067	12,448	12,530	82
42.0 Insurance Claims and Indemnity	2	-	-	-
<b>Total, Other Object Classes</b>	<b>49,669</b>	<b>53,483</b>	<b>67,433</b>	<b>13,950</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>66,714</b>	<b>71,540</b>	<b>85,557</b>	<b>14,017</b>
<b>Full Time Equivalents</b>	<b>117</b>	<b>121</b>	<b>121</b>	<b>-</b>

**Other Vetting Programs Mission Statement**

The mission of Other Vetting is to help support the identification of individuals deemed as potential terrorists or who pose a security threat to either aviation or national security.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	12,952	13,219	13,270	51
11.3 Other than full-time permanent	214	-	-	-
11.5 Other personnel compensation	63	665	670	5
11.6 Pay Diff (Sun/Night)	98	-	-	-
11.7 Military personnel/Awards	237	225	225	-
12.1 Benefits	3,481	3,948	3,959	11
<b>Total, Salaries &amp; Benefits</b>	<b>17,045</b>	<b>18,057</b>	<b>18,124</b>	<b>67</b>

The FY 2012 request reflects the Salary and Benefits for 121 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$191</b>	<b>\$235</b>	<b>\$241</b>	<b>\$6</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request includes travel needs for the Other Vetting Programs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$11</b>	<b>\$30</b>	<b>\$41</b>	<b>\$11</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incidental to the transportation of things. The FY 2013 request reflects transportation needs for the Other Vetting Program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$1,565</b>	<b>\$10,450</b>	<b>\$10,850</b>	<b>\$400</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these services to provide program management, technical and logistical support as well as evaluations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$32,603</b>	<b>\$28,800</b>	<b>\$42,251</b>	<b>\$13,451</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in systems operations. These contracts will support TIM, SIDA, 12/5 Charter Pilots, MD-3 Airports and the Temporary Flight Restriction programs. The increase more appropriately aligns the cost of other contractual services for the TIM infrastructure project.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$14,067</b>	<b>\$12,448</b>	<b>\$12,530</b>	<b>\$82</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects equipment needs.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Transportation Worker Identification Credential (TWIC) - Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,437	2,207	2,207	-
11.3 Other than full-time permanent	11	-	-	-
11.5 Other personnel compensation	-	28	28	-
11.6 Pay Diff (Sun/Night)	17	-	-	-
11.7 Military personnel/Awards	23	-	-	-
12.1 Benefits	708	580	580	-
<b>Total, Personnel and Compensation Benefits</b>	<b>3,196</b>	<b>2,815</b>	<b>2,815</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	106	200	250	50
22.0 Transportation of things	175	250	250	-
23.2 Other rent	120	-	-	-
23.3 Communications, utilities, and misc. charges	-	1	1	-
25.1 Advisory and assistance services	1,783	700	11,434	10,734
25.2 Other services	7,565	1,753	9,000	7,247
25.3 Purchases from Gov't accts.	5,209	-	7,900	7,900
25.7 Operation and maintenance of equipment	11,345	1,500	14,000	12,500
26.0 Supplies and materials	5	81	150	69
31.0 Equipment	1,244	1,000	1,500	500
<b>Total, Other Object Classes</b>	<b>27,552</b>	<b>5,485</b>	<b>44,485</b>	<b>39,000</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>30,748</b>	<b>8,300</b>	<b>47,300</b>	<b>39,000</b>
<b>Full Time Equivalents</b>	<b>23</b>	<b>21</b>	<b>21</b>	-

**Transportation Worker Identification Credential (TWIC) - Fee Mission Statement**

The mission of the TWIC Program is to establish an integrated, credential-based, identity verification program through the use of biometric technology to grant workers unescorted access to secure areas within the Nation's transportation system

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,437	2,207	2,207	-
11.3 Other than full-time permanent	11	-	-	-
11.5 Other personnel compensation	-	28	28	-
11.6 Pay Diff (Sun/Night)	17	-	-	-
11.7 Military personnel/Awards	23	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,437	2,207	2,207	-
12.1 Benefits	708	580	580	-
<b>Total, Salaries &amp; Benefits</b>	<b>3,196</b>	<b>2,815</b>	<b>2,815</b>	<b>-</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$106</b>	<b>\$200</b>	<b>\$250</b>	<b>\$50</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with maritime port operators and other TWIC program stakeholders. The increase is to more appropriately align the estimates with the actual cost of travel.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$1,783</b>	<b>\$700</b>	<b>\$11,434</b>	<b>\$10,734</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that are private sector, foreign governments, State and local governments, tribes, etc) as well as from other units within the Federal Government. TSA uses these types of contracts to assist in the development and implementation of the TWIC program. The increase is to more appropriately align the estimates with the actual cost of Advisory & Assistance Services, and is also a result of the FY 2012 Base Fee estimates being substantially lower than the revised fee estimates.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$7,565</b>	<b>\$1,753</b>	<b>\$9,000</b>	<b>\$7,247</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services will include the adjudication of cases where individuals are denied a TWIC card. The request reflects the change in contractor staffing needed after the initial surge of enrollments; Government personnel will complete the majority of vetting and adjudication services. The increase is to more appropriately align the estimates with the actual cost of Other Services, and is also a result of the FY 2012 Base Fee estimates being substantially lower than the revised fee estimates.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$5,209</b>	<b>0</b>	<b>\$7,900</b>	<b>\$7,900</b>

Includes contracts with federal agencies for background check services including the FBI for fingerprint based checks and/or name based checks for these vetting programs. The increase is to more appropriately align the estimates with the actual cost for government account purchases, and is also a result of the FY 2012 Base Fee estimates being substantially lower than the revised fee estimates.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	<b>\$11,345</b>	<b>\$1,500</b>	<b>\$14,000</b>	<b>\$12,500</b>

Supports the operation and maintenance of information technology systems used for the TWIC program. The FY 2013 request

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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reflects a better alignment in O&M costs. The increase is to more appropriately align the estimates with the actual cost of Operation and Maintenance of Equipment, and is also a result of the FY 2012 Base Fee estimates being substantially lower than the revised fee estimates.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$5	\$81	\$150	\$69

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$1,244	\$1,000	\$1,500	\$500

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. These costs include equipment that will be purchased for the TWIC program outside of contracts for implementation and sustainment of the program. The increase is to more appropriately align the estimates with the actual cost of equipment, and is also a result of the FY 2012 Base Fee estimates being substantially lower than the revised fee estimates.

**Department of Homeland Security**  
**Transportation Security Administration**  
**Transportation Threat Assessment & Credentialing:**  
**Hazardous Materials - Fee**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,181	1,725	1,725	-
11.6 Pay Diff (Sun/Night)	55	-	-	-
11.7 Military personnel/Awards	25	25	25	-
12.1 Benefits	603	475	475	-
<b>Total, Personnel and Compensation Benefits</b>	<b>2,864</b>	<b>2,225</b>	<b>2,225</b>	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	46	100	100	-
22.0 Transportation of things	-	10	10	-
23.2 Other rent	101	100	100	-
23.3 Communications, utilities, and misc. charges	-	2	2	-
25.1 Advisory and assistance services	120	740	740	-
25.2 Other services	6,030	8,823	8,823	-
25.3 Purchases from Gov't accts.	13	-	-	-
26.0 Supplies and materials	2	-	-	-
31.0 Equipment	137	-	-	-
<b>Total, Other Object Classes</b>	<b>6,449</b>	<b>9,775</b>	<b>9,775</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>9,313</b>	<b>12,000</b>	<b>12,000</b>	-
<b>Full Time Equivalents</b>	<b>19</b>	<b>17</b>	<b>17</b>	-

**Hazardous Materials - Fee Mission Statement**

The mission of the HazMat Program is to support public safety by ensuring that all commercial drivers transporting hazardous materials are thoroughly checked against terrorist and criminal databases and receive the appropriate endorsement from DHS.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,181	1,725	1,725	-
11.6 Pay Diff (Sun/Night)	55	-	-	-
11.7 Military personnel/Awards	25	25	25	-
12.1 Benefits	603	475	475	-
<b>Total, Salaries &amp; Benefits</b>	<b>2,864</b>	<b>2,225</b>	<b>2,225</b>	-

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
General Aviation at DCA - Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1	-	-	-
25.2 Other services	-	90	90	-
26.0 Supplies and materials	1	10	10	-
<b>Total, Other Object Classes</b>	<b>2</b>	<b>100</b>	<b>100</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2</b>	<b>100</b>	<b>100</b>	-
<b>Full Time Equivalents</b>	-	-	-	-

**General Aviation at DCA - Fee Mission Statement**

This funding is the fee collection supporting General Aviation flights into DCA as provided by the Vision 100 Act.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Other Security Threat Assessments- Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	8	1,320	120	(1,200)
<b>Total, Other Object Classes</b>	<b>8</b>	<b>1,320</b>	<b>120</b>	<b>(1,200)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>8</b>	<b>1,320</b>	<b>120</b>	<b>(1,200)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Other Security Threat Assessments - Fee Mission Statement**

The OSTA fees fund the 12/5, Private Charter Standard Security Program (PCSSP), Maryland-Three (MD-3), Airspace Waivers (ASW), LASP and SSI.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$8	\$1,320	\$120	-\$1,200

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The decrease is a result of the LASP fee collections being deferred until the Universal Rule begins.



**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Commercial Aviation and Airport - Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	1,722	8,000	8,000	-
<b>Total, Other Object Classes</b>	<b>1,722</b>	<b>8,000</b>	<b>8,000</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,722</b>	<b>8,000</b>	<b>8,000</b>	-
<b>Full Time Equivalents</b>	-	-	-	-

**Commercial Aviation and Airport - Fee Mission Statement**

This funding is the fee collection for the Commercial Aviation and Airport Workers who require an FBI CHRC.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Air Cargo - Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	7	869	869	-
11.5 Other personnel compensation	-	45	45	-
11.6 Pay Diff (Sun/Night)	1	-	-	-
11.7 Military personnel/Awards	3	-	-	-
12.1 Benefits	6	214	214	-
<b>Total, Personnel and Compensation Benefits</b>	<b>17</b>	<b>1,128</b>	<b>1,128</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
25.2 Other services	-	5,472	6,072	600
<b>Total, Other Object Classes</b>	<b>-</b>	<b>5,472</b>	<b>6,072</b>	<b>600</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>17</b>	<b>6,600</b>	<b>7,200</b>	<b>600</b>
<b>Full Time Equivalents</b>	-	8	8	-

**Air Cargo - Fee Mission Statement**

The AC program, which includes the Indirect Air Cargo (IAC) and Certified Cargo Screening Program (CCSP), provides for fee collections supporting security threat assessments (STA) of air cargo workers in the air cargo supply chain, including individuals authorized to screen cargo at designated cargo screening facilities.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	7	869	869	-
11.5 Other personnel compensation	-	45	45	-
11.6 Pay Diff (Sun/Night)	1	-	-	-
11.7 Military personnel/Awards	3	-	-	-
12.1 Benefits	6	214	214	-
<b>Total, Salaries &amp; Benefits</b>	<b>17</b>	<b>1,128</b>	<b>1,128</b>	<b>-</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>0</b>	<b>\$5,472</b>	<b>\$6,072</b>	<b>\$600</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The increase is to more appropriately align the estimated cost with actual costs.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Threat Assessment & Credentialing:  
Alien Flight School - Fee  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	395	559	543	(16)
11.5 Other personnel compensation	-	35	35	-
11.6 Pay Diff (Sun/Night)	9	-	-	-
11.7 Military personnel/Awards	-	5	-	(5)
12.1 Benefits	110	155	176	21
<b>Total, Personnel and Compensation Benefits</b>	<b>514</b>	<b>754</b>	<b>754</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1	5	6	1
23.3 Communications, utilities, and misc. charges	19	-	-	-
25.2 Other services	2,193	3,148	4,000	852
25.3 Purchases from Gov't accts.	5	75	85	10
26.0 Supplies and materials	-	4	5	1
31.0 Equipment	18	14	150	136
<b>Total, Other Object Classes</b>	<b>2,236</b>	<b>3,246</b>	<b>4,246</b>	<b>1,000</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,750</b>	<b>4,000</b>	<b>5,000</b>	<b>1,000</b>
<b>Full Time Equivalents</b>	<b>4</b>	<b>6</b>	<b>6</b>	<b>-</b>

**Alien Flight School - Fee Mission Statement**

The mission of the Alien Flight Student Program is to help identify individuals deemed as potential terrorists or who pose a security threat to either aviation or national security. This program reviews and assesses biographic and biometric information of non-U.S. citizens and other individuals who seek flight training at FAA certified flight schools located both inside and outside the United States.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	395	559	543	(16)
11.5 Other personnel compensation	-	35	35	-
11.6 Pay Diff (Sun/Night)	9	-	-	-
11.7 Military personnel/Awards	-	5	-	(5)
12.1 Benefits	110	155	176	21
<b>Total, Salaries &amp; Benefits</b>	<b>514</b>	<b>754</b>	<b>754</b>	<b>-</b>

The FY 2013 request includes Salary and Benefits for 6 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$1	\$5	\$6	\$1

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. Travel is necessary to conduct on-site reviews and meetings with state and local stakeholders in the Alien Flight Student Program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$2,193	\$3,148	\$4,000	\$852

Other services include contractual services with non-Federal sources that are not otherwise classified under object class 25. Contracting services are used extensively in the systems operation and case adjudication of the Alien Flight Student program. The increase is a result of the additional Services required, since \$1M in additional collections is expected in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$5	\$75	\$85	\$10

Alien Flight Student program contracts with federal agencies for background check services including the FBI for fingerprint based checks on each applicant.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	\$4	\$5	\$1

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$18	\$14	\$150	\$136

To purchase hardware and software used to support the program.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>245</b>	<b>308</b>	<b>487</b>
<b>Increases</b>			
Secure Flight - Balanced Workforce Conversion	37	133	-
Other Vetting Additional FTE request for Visa Holders	13	-	-
Other Vetting Annualization of FY 2010 Program Increase	10	10	-
Adjustment for EOY Actuals	3	-	-
Secure Flight Expanded Watchlist Vetting	-	36	-
<b>Subtotal, Increases</b>	<b>63</b>	<b>179</b>	<b>-</b>
<b>Decreases</b>			
Transfer of FTE to Intel	-	-	(23)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(23)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>308</b>	<b>487</b>	<b>464</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>63</b>	<b>179</b>	<b>(23)</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*Transportation Security Administration  
Transportation Security Support*

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Fiscal Year 2013  
Congressional Justification



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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Transportation Security Administration Transportation Security Support**

### **I. Appropriation Overview**

#### **A. Mission Statement for Transportation Security Support:**

The Transportation Security Administration (TSA) is an agency of more than 57,000 FTE, with approximately \$7.6 billion in budget authority, regulatory and law enforcement authorities, and a nationwide presence. The management and support of the organization is accomplished by a transportation security support staff in the Washington, D.C. metropolitan area and five Mission Support Centers (MSCs).

#### **B. Budget Activities:**

**Intelligence** - The Office of Intelligence and Analysis (OIA) receives, assesses, and distributes intelligence information to support TSA's mission of securing the transportation system. TSA-OIA also conducts strategic operational and tactical risk-based security planning.

**HQ Administration** – Headquarters (HQ) Administration provides all aspects of the support infrastructure required to sustain TSA's nation-wide operations. These activities include serving as the central point on policy development, performance management, facilities management, financial management, acquisition, civil rights protection, legal advice, internal conduct and audits, and providing a safe and healthy work environment for employees.

**Human Capital Services** - The Office of Human Capital Services (OHCS) includes all services that support the recruitment, assessment, servicing, and payroll of TSA's employees at headquarters, field offices, airports, and other locations. OHCS maintains oversight of all human resources contractual activities, and provides advice and counsel to senior managers on personnel issues.

**Information Technology** - Information Technology (IT) provides the IT infrastructure and services to maintain connectivity, provide productivity tools, and support headquarters and field corporate applications.

#### **C. Budget Request Summary:**

The Transportation Security Administration requests 1,992 positions, 1,861 FTE, and \$969,709,000 in appropriated funding for Transportation Security Support in FY 2013. The total adjustments-to-base include an increase of 122 FTP, 106 FTE, and a reduction of \$62,217,000.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
 Transportation Security Administration  
 Transportation Security Support:  
 Summary of FY 2013 Budget Estimates by Program Project Activity**

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Intelligence	221	160	34,918	232	223	42,992	256	243	45,130	24	20	2,138	-	-	-	24	20	2,138
Headquarters Administration	1,138	936	252,149	1,256	1,172	292,334	1,283	1,194	281,554	27	22	(10,780)	-	-	-	27	22	(10,780)
Human Capital Services	251	206	236,645	156	144	249,400	164	150	225,829	8	6	(23,571)	-	-	-	8	6	(23,571)
Information Technology	297	180	499,633	226	216	447,200	289	274	417,196	63	58	(30,004)	-	-	-	63	58	(30,004)
<b>Total, Transportation Security Support:</b>	<b>1,907</b>	<b>1,482</b>	<b>1,023,345</b>	<b>1,870</b>	<b>1,755</b>	<b>1,031,926</b>	<b>1,992</b>	<b>1,861</b>	<b>969,709</b>	<b>122</b>	<b>106</b>	<b>(62,217)</b>	-	-	-	<b>122</b>	<b>106</b>	<b>(62,217)</b>
Subtotal, Enacted Appropriations and Budget Estimates	1,907	1,482	1,023,345	1,870	1,755	1,031,926	1,992	1,861	969,709	122	106	(62,217)	-	-	-	122	106	(62,217)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,907	1,482	1,023,345	1,870	1,755	1,031,926	1,992	1,861	969,709	122	106	(62,217)	-	-	-	122	106	(62,217)

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Intelligence  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Intelligence**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>221</b>	<b>160</b>	<b>34,918</b>
<b>2012 Enacted Budget Authority</b>	<b>232</b>	<b>223</b>	<b>42,992</b>
2013 Adjustments-to-Base	24	20	2,138
<b>2013 Current Services</b>	<b>256</b>	<b>243</b>	<b>45,130</b>
<b>2013 Total Requested Budget Authority</b>	<b>256</b>	<b>243</b>	<b>45,130</b>
Total Change 2012 to 2013	24	20	2,138

TSA requests \$45.1 million for Intelligence. The adjustments-to-base includes: an increase of 24 FTP/23 FTE and \$2.6 transfer from the Transportation Threat Assessment & Credentialing appropriation; an increase of \$124,000 for pay COLA, a decrease of 3 FTE for adjustments, and a decrease of \$537,000 for management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Intelligence and Analysis (OIA) provides TSA with the capability to review, synthesize, and analyze transportation specific intelligence in addition to providing comprehensive and cogent analytic products. It is the only Federal intelligence entity focused solely on the transportation sector. OIA coordinates closely and shares information with the Department of Homeland Security Office of Intelligence & Analysis, the Intelligence Community (IC), the intelligence sections of law enforcement agencies, and the transportation industry. To facilitate collaboration and provide rapid analysis and notification of threats, the office assigns Field Intelligence Officers (FIOs) at key transportation nodes and places liaison officers at key IC and law enforcement agencies.

OIA is critical to TSA’s overall risk-based security strategy and the intelligence products generated provide the threat framework utilized to prioritize security resources. These products are regularly used by TSA senior leadership, the Federal Security Directors, the Federal Air Marshal Service, and the transportation industry to guide decisions. OIA operates and maintains 24/7 intelligence capabilities at TSA Headquarters and the TSA Freedom Center to disseminate warnings and notifications of credible and immediate threats. OIA also assists in coordinating domestic and

international civil aviation and other modal security intelligence activities with other government agencies.

To perform its mission, OIA provides and maintains Top Secret and Secret Collateral classified information technology infrastructures for interfacing via voice, video, and data with the IC, state and local law enforcement, field sites, and industry partners. One such system is the TSA Remote Access to Classified Enclaves (TRACE) solution which provides secure access to classified and unclassified threat information in a timely manner to multiple remote locations.

In FY 2013, the Intelligence PPA will be reduced by \$537,000 in management efficiencies achieved through the purchase of supplies and materials, and the operation and maintenance of equipment, as well as efficiencies across the DHS enterprise in areas such as overtime, TDY, and conferences.

Management Efficiencies: (\$537,000)  
(dollars in thousands)

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$ 149)
General TDY	(\$ 10)	
Overtime	(\$ 1)	
Conferences	(\$ 65)	
HQ Discretionary Costs	(\$ 73)	
Other		(\$388)

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Headquarters Administration  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Headquarters Administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,138</b>	<b>936</b>	<b>252,149</b>
<b>2012 Enacted Budget Authority</b>	<b>1,256</b>	<b>1,172</b>	<b>292,334</b>
2013 Adjustments-to-Base	27	22	(10,780)
<b>2013 Current Services</b>	<b>1,283</b>	<b>1,194</b>	<b>281,554</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,283</b>	<b>1,194</b>	<b>281,554</b>
Total Change 2012 to 2013	27	22	(10,780)

TSA requests \$281.6 million for Headquarters Administration. The adjustments-to-base include: an increase of 41 FTP/40 FTE for DHS Balanced Workforce Strategy Follow-On; a decrease of 15 FTP/14 FTE and \$808,000 for transfers between the Transportation Security Support appropriation and the Transportation Security Aviation appropriation; an increase of 1 FTP/1 FTE and \$189,000 for realignments; an increase of \$620,000 for pay COLA; an increase of 7 FTE and \$50,000 for annualizations associated with FY 2012 program increases; a decrease of 12 FTE for adjustments; a decrease of \$2.7 million to annualize second year funding of support costs associated with staffing of initial 1,000 Advanced Imaging Technology equipment; and a decrease of \$8.2 million in management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components that make up this PPA.

(Dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Personnel	\$148.0	\$148.7
Leadership	4.5	4.5
Internal Management & Controls	80.0	72.9
Workforce Support	17.0	17.0
Facilities Management & Physical Security	42.8	38.5
<b>Total</b>	<b>\$292.3</b>	<b>\$281.6</b>

Headquarters (HQ) Administration supports numerous functions required to provide leadership, management, and logistics support to TSA operations.

**Personnel:** \$148.7 million in personnel costs are included in this PPA for the Offices of the Assistant Secretary and Deputy Assistant Secretary, Professional Responsibility, Inspection, Chief Counsel, Finance and Administration (Chief Financial Officer (CFO) and Chief Administrative Officer (CAO)), Legislative Affairs, Acquisition, Special Counselor, Security, and Strategic Communications and Public Affairs.

**Leadership:** \$4.5 million in operating expenses are provided to develop the policy and management architecture to guide overall activities, ensure compliance with laws and regulations, and manage external relationships with Congress, the Administration, other oversight entities, and private sector partners. Executive leadership offices include the Office of the Administrator, Deputy Administrator, Legislative Affairs, and Strategic Communications and Public Affairs.

**Internal Management and Controls:** \$72.9 million in operating expenses support the day-to-day management of a \$7.6 billion budget and over 50,000 personnel. Offices overseeing internal management and controls include: Professional Responsibility, Inspection, Acquisition, CFO, CAO, Chief Counsel, and Security. The Department of Homeland Security Working Capital Fund is funded under the IM&C which funds DHS-wide and government-wide activities such as Internal Control Audit, Flexible Spending Plan, and Consolidated Subscription Services.

**Workforce Support:** \$17.0 million in operating expenses to ensure that the more than 57,000 TSA FTE have an excellent working climate and a safe and healthful environment while performing TSA's mission through the following programs: injury prevention, accident investigation and reporting, investigation of safety and health complaints, radiation safety, and health facilities. In addition, these programs ensure fair and lawful treatment of employees and the public such as, Traveler Redress, TSA Contact Center, civil rights, civil liberties, and disability rights outreach and enforcement programs. Offices that provide workforce support include: Special Counselor and CAO. The \$17 million also funds all of the contracts for CR&L O&TR --the majority of the civil rights investigations are done through a contract; it also funds the Redress program and the contract for the TSA's contact Center. In CAO, it funds the contracts for OSHE - injury prevention, accident investigation and reporting, illnesses tracking, OSHE complaints, and radiation safety. It also funds Health Services such as health units, and professional services for medical/health related policies and activities.

**Facilities Management and Physical Security:** \$38.5 million is needed for operating expenses managed by the CAO for facility and management support for HQ, the Freedom Center, the Franconia Warehouse, and the Mission Support Centers (MSCs). The Franconia Warehouse is used to stage TSA equipment prior to deployment, to store special purpose consumables, and to serve as temporary storage of property and equipment during construction projects. The MSCs are the central field service support mechanism for TSA across transportation modes.

## **PROGRAM OFFICES**

**Acquisition** – Executes contracts and other agreements for the supplies and services needed by TSA to accomplish its mission. This office provides subject matter expertise in the areas of acquisition, field

office acquisition guidance, grants management, requirements development, and program management. TSA will be continuing the focus on strengthening the capabilities of the acquisition workforce through training and development initiatives, information technology enhancements and acquisition management improvements consistent with the agency acquisition human capital plan.

**Chief Administrative Officer (CAO)** – Develops and implements administrative services programs, policies, and functions to include Occupational Safety Health and Environment (OSHE), Property Management, Field Real Estate Services, Building Management Services, and Information Management. These programs provide the following services:

- OSHE ensures TSA is in compliance with Federal regulations, DHS policy, and TSA policy and guidance in the areas of safety, health, and environmental services;
- Property Management provides accountability of all personal property owned by TSA, manages the fleet and transportation program, transit benefits, and HQ parking;
- Field Real Estate Services provides facilities services for field workspace locations by managing office and airport space allocations, lease acquisitions, design, construction and renovation of leased space, and furniture acquisition;
- Building Management Services provides building management and facilities support to TSA Headquarters; and
- Information Management Programs manage the release of official agency records, management directives, and official forms.

**Chief Counsel** – Delivers legal services to all mission areas, components, and staff, covering all substantive legal areas applicable to TSA. These include a comprehensive and inclusive array of services from legal and policy development, ethics, negotiating and drafting international agreements, drafting and reviewing legislation, Congressional testimony, and regulations and rulemaking.

**Chief Financial Officer (CFO)** – Manages resources to support TSA’s critical mission and ensures these resources are used efficiently by providing effective financial systems and robust internal funds controls. Provides planning guidance to align the TSA budget with DHS goals and objectives and provides performance guidance and assistance to ensure goals and objectives are executed.

**Inspection** – Conducts covert testing to assess systematic vulnerabilities across all modes of transportation; investigates allegations of employee misconduct within TSA, and conducts proactive compliance inspections of programs; provides financial and operational reviews to assess the integrity of programs; and conducts insider threats reviews.

**Security** – Oversees and administers the agency-wide physical, personnel, and internal security policies and procedures, thereby ensuring a safe and secure workplace for its employees, and effectively determining the employment suitability of all TSA personnel, including contractors.

**Special Counselor** - Includes Offices of Audit Liaison, Executive Secretariat, Freedom of Information Act (FOIA), Civil Rights and Liberties (OCRL), Office of Disability Policy and Outreach (ODPO); Ombudsman, Privacy, and Transportation Security Redress. These offices provide the following services:



- Audit Liaison is the TSA point of contact for audits performed by the Government Accountability Office and the DHS Office of the Inspector General;
- Executive Secretariat manages the preparation and coordination of correspondence with DHS, Congress, and the public, briefing materials for the Secretary and Deputy Secretary, and congressional Questions for the Record, and Reports to Congress. It also operates the TSA Contact Center which responds to traveler inquiries;
- FOIA responds to FOIA and Privacy Act requests from the public, Congress, and other government agencies;
- OCRL provides Equal Employment Opportunity services including education, traditional counseling, mediation, and formal complaint investigation as well as diversity management and training;
- ODPO serves as TSA's internal and external liaison on matters related to the screening of people with disabilities;
- Ombudsman provides neutral and confidential problem resolution services to employees and the public for issues involving TSA;
- The Privacy Office ensures that TSA complies with all privacy laws and regulations; and
- The Office of Transportation Security Redress provides a forum for individuals seeking redress to correct and update information that the Federal Government uses in conducting screening activities and acts as the lead agent for managing the DHS Transportation Redress Inquiry Program (TRIP).

**Strategic Communications and Public Affairs (OSCPA)** – Oversees the communications, media relations, public liaison, speechwriting, and all Web communication initiatives including the TSA Blog. Audiences include the public, the media, Congress, TSA employees, internal stakeholders, and foreign partners. The OSCPAs aims to increase public understanding of security procedures and agency policies and to prepare the public to navigate security.

**Office of Legislative Affairs (OLA)** - Conducts primary liaison activities with Congress. OLA develops and advances TSA's legislative agenda and priorities on Capitol Hill and prepares agency officials for appearances before Congress. In addition, OLA develops and implements a comprehensive, proactive legislative strategy to inform Congress of TSA's activities through briefings, meetings, tours, and responses to Congressional inquiries.

**Office of Professional Responsibility (OPR)** - Ensures fair and consistent disciplinary practice TSA-wide. This includes reviewing and adjudicating allegations of misconduct for senior level employees, tracking and oversight of misconduct cases, and adjudicating appeals of adverse actions issued against TSOs.

In FY 2013 the Headquarters Administration PPA will be reduced by \$8.2 million due to savings from the purchase of supplies and materials, and the operation and maintenance of equipment, as well as savings in administrative/professional support contracts. Nearly \$6 million will be saved through efficiencies across the DHS enterprise in areas such as management of the vehicle fleet, overtime, TDY, and conferences.

Management Efficiencies: (\$8.175 million)  
(dollars in thousands)

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$5,986)
General TDY	(\$ 460)	
Overtime	(\$ 39)	
Conferences	(\$ 61)	
OFPP Directed Purchasing Savings	(\$ 1,928)	
Vehicle Fleet	(\$ 2,612)	
HQ Discretionary Costs	(\$ 886)	
Admin/Professional Support Contract Efficiencies		(\$ 202)
Other		(\$ 1,987)

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Human Capital Services  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Human Capital Services**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>251</b>	<b>206</b>	<b>236,645</b>
<b>2012 Enacted Budget Authority</b>	<b>156</b>	<b>144</b>	<b>249,400</b>
2013 Adjustments-to-Base	8	6	(23,571)
<b>2013 Current Services</b>	<b>164</b>	<b>150</b>	<b>225,829</b>
<b>2013 Total Requested Budget Authority</b>	<b>164</b>	<b>150</b>	<b>225,829</b>
Total Change 2012 to 2013	8	6	(23,571)

TSA requests \$225.8 million for Human Capital Services. The adjustments-to-base include: an increase of 8 FTP/8 FTE for DHS Balanced Workforce Strategy Follow-On; an increase of \$52,000 for transfers between the Transportation Security Support appropriation and the Transportation Security Aviation appropriation; an increase of \$76,000 for realignments; an increase of \$143,000 for pay COLA; a decrease of \$6 million for annualizations associated with FY 2012 program increases; a decrease of 2 FTE for adjustments; a decrease of \$10.5 million to annualize second year funding of support costs associated with staffing of initial 1,000 Advanced Imaging Technology equipment; a decrease of \$7.4 million in management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components that make up this PPA.

	(Dollars in Millions)	
	<b>FY 2012</b>	<b>FY 2013</b>
Personnel	\$36.0	\$36.0
HR Access -- Recruitment, Assessment, & Personnel Administration	163.1	143.9
Other HC Services	37.6	34.5
Leadership Training & Development	12.7	11.4
<b>Total</b>	<b>\$249.4</b>	<b>\$225.8</b>

The Office of Human Capital Services (OHCS) maintains oversight of all Human Resources (HR) contractual activities, develops policies, guidance, and programs that are used to identify and promote

the best and most efficient HR practices, thereby allowing TSA to establish and administer programs necessary to create and sustain a diverse and highly skilled workforce.

**Personnel:** \$36.0 million in personnel costs are included in this PPA to support all HR activities.

**HR Access:** The request includes \$143.9 million to provide HR Services to the workforce located in nearly 450 airports in all 50 States, the District of Columbia, and U.S. Territories. Services provided by HR Access include recruitment and hiring, personnel transactions, benefits processing, payroll processing, workforce planning, position management/position classification and help desk. It aligns with DHS's enterprise Architecture and leverages available e-systems. As a result, TSA benefits from improved human resource services to its employees through feedback and stakeholder communications, innovative approaches utilizing automated solutions and Federal best practice applications. The \$19.2 million reduction to HR Access includes a non-recur of \$10.5 million for the TSOs received in FY 2012.

**Other Human Capital Services:** \$34.5 million is requested for employee relations, collective bargaining, program management support of Human Capital systems, strategic Human Capital planning, reasonable accommodation, management of the Worker's Compensation program, Medical Evaluation Program, and mandatory programs. Mandatory programs include drug and alcohol testing and Unemployment Compensation.

Following the Federal Labor Relations Authority's (FLRA) decision that directed union representation for TSOs, TSA issued a Determination to allow election for union representation if conducted in a manner consistent with TSA's security mission. In June 2011, The American Federation of Government Employees (AFGE) was certified by the FLRA as the exclusive representative of the bargaining unit. Thus, TSA will transition to the collective bargaining environment and full implementation of TSA's Determination including establishment of a Unitary Resolution System by which grievances, workplace issues, conflicts, and disciplinary disagreements will be resolved through collective bargaining, or while bargaining with the union. Specifications on how these types of issues will be handled and how the system will be implemented are currently under development. The Workers' Compensation (WC) Program oversees the Workers' Compensation chargeback from the Department of Labor (DOL) and the Nurse Case Management Program. The program established the Periodic Roll Initiative (PRI) in April 2007. The initiative is a joint effort with the Nurse Case Management team in which all of the long term disability (Periodic Roll) cases are examined for opportunities to return employees to work when medically feasible. To ensure injured workers receive expedited medical care, TSA uses a diagnostic testing network to schedule and provide Magnetic Resonance Imaging (MRI) and Computed Tomography (CT) scans for employees with work-related injuries. MedLink's service expedites the scheduling of MRI and CT Scans at a reduced cost. This service schedules appointments with local radiology and diagnostic imaging centers at the earliest possible date, providing the employee's physician with an image and image study within 24 hours of testing. This enables the physician to provide accurate and timely diagnosis for quality care and medical treatment.

The Medical Evaluation Program ensures that TSOs are physically fit to continue to perform the mission critical duties of their position. This program requires TSOs to be medically evaluated, on a recurring basis. TSA is developing an implementation strategy and is developing and validating

medical qualification standards for incumbent TSOs that parallel the standards currently in place to screen applicants for TSO positions.

Other Human Capital Services also funds The DHS Working Capital Fund which provides funding for DHS-wide and government-wide activities related to operational and human resource management support functions.

**Leadership Training and Development Program:** \$11.4 million is requested for training and development of Headquarters and Field staff. OHCS works closely with TSA leadership to develop and administer programs to prepare for future leadership needs and fulfill the succession planning mandated by the Office of Personnel Management (OPM) and DHS. The program will identify the most critical current and future senior leadership requirements, prepare a pipeline of talented and motivated leaders at all levels, and identify the best external sources of recruitment when internal sources are insufficient to meet critical needs.

Succession Planning provides the opportunity for current leaders to make an investment in the development of future leaders and in the long-term success of TSA. The program was launched in three phases targeting different pools of applicants for critical positions: Senior Leadership Development Program (SLDP) 1, SLDP2, and Senior Executive Service Candidate Development Program (CDP). The CDP is a formal program operating under OPM and DHS rules to develop candidates who will seek certification from an OPM-sponsored Qualifications Review Board. Upon completion of the requirements and once certified, the employee will be eligible for non-competitive selection to executive positions.

The professional development program provides mission-related training that is either beneficial for an employee in his/her current position or for professional development that will increase the employee's ability to contribute to TSA's mission in another capacity. The Career Resident Program is a formal career development program designed to attract exceptional candidates with diverse backgrounds into targeted entry level positions.

In FY 2013 the Human Capital Services PPA will be reduced by \$7.4 million due to savings from the purchase of supplies and materials, and the operation and maintenance of equipment, as well as savings in administrative/professional support contracts. Over \$4 million will be saved through efficiencies across the DHS enterprise in areas such as overtime, TDY, and conferences.

Management Efficiencies: (\$7.385 million)  
(dollars in thousands)

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$ 4,122)
General TDY	(\$ 38)	
Conferences	(\$ 3)	
OFPP Directed Purchasing Savings	(\$ 2,186)	
HQ Discretionary Costs	(\$ 1,895)	
Admin/Professional Support Contract Efficiencies		(\$ 230)
Other		(\$ 3,033)

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Information Technology  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Information Technology**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>297</b>	<b>180</b>	<b>499,633</b>
<b>2012 Enacted Budget Authority</b>	<b>226</b>	<b>216</b>	<b>447,200</b>
2013 Adjustments-to-Base	63	58	(30,004)
<b>2013 Current Services</b>	<b>289</b>	<b>274</b>	<b>417,196</b>
<b>2013 Total Requested Budget Authority</b>	<b>289</b>	<b>274</b>	<b>417,196</b>
Total Change 2012 to 2013	63	58	(30,004)

TSA requests \$417.2 million for Information Technology. The adjustments-to-base include: an increase of 63 FTP/61 FTE for DHS Balanced Workforce Strategy Follow-On; an increase of \$23,000 for transfers between the Transportation Security Aviation appropriation and the Transportation Security Support appropriation; a decrease of \$265,000 for realignments; an increase of \$159,000 for pay COLA; a decrease of \$145,000 for annualizations associated with FY 2012 program increases; a decrease of 3 FTE for adjustments; a decrease of \$294,000 to annualize second year funding of support costs associated with staffing of initial 1,000 Advanced Imaging Technology equipment; a decrease of \$29.5 million in management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The following table provides the components of the PPA's Current Services.

(dollars in millions)

	<b>FY 2012</b>	<b>FY 2013</b>
Core Information Technology Program	\$349.3	\$296.2
Financial Management Systems/Working Capital Fund	\$64.0	\$78.5
IT Personnel	\$33.9	\$42.5
<b>Total</b>	<b>\$447.2</b>	<b>\$417.2</b>

**Core Information Technology (IT) Program:** A total of \$296.2 million supports the core IT and telecommunications infrastructure for all TSA enterprise-wide IT services that assist in accomplishing TSA’s mission. The core enterprise IT capability is supported through an IT infrastructure contract that provides TSA the flexibility to manage and adjust IT resources as necessary. TSA’s IT business model offers the prospect of long-term cost efficiencies and the implementation of state-of-the-art technologies without sacrificing the integrity or security of IT systems.

**Financial Management Systems/Working Capital Fund:** This activity funds \$78.5 million of interagency agreements with the U.S. Coast Guard for the use of their financial management system. It also funds reimbursements to DHS for the costs of the Working Capital Fund related to operational and information management support functions. The FY 2013 increase of \$14.5 million over FY 2012 is due to increases in the Working Capital Fund interagency agreements.

**IT Personnel:** This PPA includes \$42.5 million to support 289 FTP/274 FTE for IT support. These personnel consist of IT engineers, application developers, technical specialists, and associated support professionals. They provide the IT infrastructure and services to TSA Headquarters and field locations. The FY 2013 Budget request also reflects a Balanced Workforce/contract conversion of 63 FTP and 61 FTE.

In FY 2013 the Information Technology PPA will be reduced by \$29.5 million due to savings from the purchase of supplies and materials, and the operation and maintenance of equipment, as well as savings in administrative/professional support contracts. Over \$22 million will be saved through efficiencies across the DHS enterprise in areas such as overtime, TDY, and conferences.

Management Efficiencies: (\$29.482 million)  
(dollars in thousands)

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$22,149)
General TDY	(\$ 63)	
Overtime	(\$ 1)	
IT Costs	(\$13,200)	
Conferences	(\$ 3)	
DHS Strategic Sourcing Initiatives	(\$ 314)	
OFPP Directed Purchasing Savings	(\$ 5,209)	
HQ Discretionary Costs	(\$ 3,359)	
Admin/Professional Support Efficiencies		(\$ 547)
Other		(\$ 6,786)

#### **IV. Program Justification Changes**

N/A



**V. Exhibits and Other Supporting Material**  
**A. Justification of Proposed Legislative Language**

**Justification of Proposed Changes in Transportation Security Support**  
**Appropriation Language**

For necessary expenses of the Transportation Security Administration related to transportation security support and intelligence pursuant to the Aviation and Transportation Security Act (Public Law 107-71; 115 Stat. 597; 49 U.S.C. 40101 note), [\$1,031,926,000] \$969,709,000, to remain available until September 30, [2013: *Provided*, That of the funds appropriated under this heading, \$20,000,000 may not be obligated for headquarters administration until the Administrator of the Transportation Security Administration submits to the Committees on Appropriations of the Senate and the House of Representatives detailed expenditure plans for air cargo security, checkpoint support, and explosives detection systems refurbishment, procurement, and installations on an airport-by-airport basis for fiscal year 2012: *Provided further*, That these plans shall be submitted not later than 60 days after the date of enactment of this Act]2014.(*Department of Homeland Security Appropriations Act, 2012.*)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>1,907</b>	<b>1,482</b>	<b>1,023,345</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>1,870</b>	<b>1,755</b>	<b>1,031,926</b>
<b>Adjustments-to-Base</b>			
<b>Transfers</b>			
Transfer in to Support from Aviation	-	-	291
Transfer in to Support from TTAC	24	23	2,551
Transfer out from Support to Aviation	(15)	(14)	(1,024)
<b>Total, Transfers</b>	<b>9</b>	<b>9</b>	<b>1,818</b>
<b>Increases</b>			
2013 Pay Increase	-	-	1,046
DHS Balanced Workforce Follow-On	112	109	-
<b>Total, Increases</b>	<b>112</b>	<b>109</b>	<b>1,046</b>
<b>Decreases</b>			
Annualization of prior year part year funding	-	7	(6,094)
Enterprise Wide Efficiencies	-	-	(32,406)
Admin/Professional Support Efficiencies	-	-	(979)
Management Adjustments	-	-	(12,194)
Other Adjustments to Base	1	(19)	(13,408)
<b>Total, Decreases</b>	<b>1</b>	<b>(12)</b>	<b>(65,081)</b>
<b>Total, Adjustments-to-Base</b>	<b>122</b>	<b>106</b>	<b>(62,217)</b>
<b>FY 2013 Current Services</b>	<b>1,992</b>	<b>1,861</b>	<b>969,709</b>
<b>FY 2013 Requested Budget Authority</b>	<b>1,992</b>	<b>1,861</b>	<b>969,709</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>122</b>	<b>106</b>	<b>(62,217)</b>

## C. Summary of Requirements

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	1,907	1,482	1,023,345
<b>FY 2012 Enacted Budget Authority</b>	1,870	1,755	1,031,926
<b>Adjustments-to-Base</b>	-	-	-
Transfers	9	9	1,818
Increases	112	109	1,046
Decreases	1	(12)	(65,081)
<b>Total, Adjustments-to-Base</b>	122	106	(62,217)
<b>FY 2013 Current Services</b>	1,992	1,861	969,709
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	1,992	1,861	969,709
<b>FY 2012 to FY 2013 Total Change</b>	122	106	(62,217)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Intelligence	232	223	42,992	24	20	2,138	-	-	-	256	243	45,130	24	20	2,138
Headquarters Administration	1,256	1,172	292,334	27	22	(10,780)	-	-	-	1,283	1,194	281,554	27	22	(10,780)
Human Capital Services	156	144	249,400	8	6	(23,571)	-	-	-	164	150	225,829	8	6	(23,571)
Information Technology	226	216	447,200	63	58	(30,004)	-	-	-	289	274	417,196	63	58	(30,004)
<b>Total</b>	<b>1,870</b>	<b>1,755</b>	<b>1,031,926</b>	<b>122</b>	<b>106</b>	<b>(62,217)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,992</b>	<b>1,861</b>	<b>969,709</b>	<b>122</b>	<b>106</b>	<b>(62,217)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS- Real Estate	-	-	689	-	-	900	-	-	900	-	-	-
DHS/FBI	-	-	-	-	-	50	-	-	50	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>689</b>	-	-	<b>950</b>	-	-	<b>950</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Headquarters Administration	-	-	689	-	-	950	-	-	950	-	-	-
<b>Total Obligations</b>	-	-	<b>689</b>	-	-	<b>950</b>	-	-	<b>950</b>	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	166,841	189,844	203,122	13,278
11.3 Other than full-time permanent	2,254	2,613	2,708	95
11.5 Other personnel compensation	413	9,211	9,827	616
11.6 Pay Diff (Sun/Night)	3,703	1	-	(1)
11.7 Military personnel/Awards	2,534	-	-	-
12.1 Benefits	51,133	54,877	58,553	3,676
13.0 Unemployment Compensation	9,903	6,685	6,942	257
<b>Total, Personnel and Other Compensation Benefits</b>	<b>236,781</b>	<b>263,231</b>	<b>281,152</b>	<b>17,921</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	8,311	10,106	8,862	(1,244)
22.0 Transportation of things	354	430	378	(52)
23.1 GSA rent	3,154	2,996	2,651	(345)
23.2 Other rent	27,694	27,779	24,269	(3,510)
23.3 Communications, utilities, and misc. charges	41,091	46,878	44,483	(2,395)
24.0 Printing	108	228	199	(29)
25.1 Advisory and assistance services	385,395	353,776	321,003	(32,773)
25.2 Other services	130,786	142,648	131,816	(10,832)
25.3 Purchases from Gov't accts.	88,539	110,356	100,885	(9,471)
25.4 O&M of facilities	8,929	7,014	6,138	(876)
25.6 Medical care	16	43	37	(6)
25.7 Operation and maintenance of equipment	9,428	27,328	24,742	(2,586)
26.0 Supplies and materials	2,392	3,032	2,692	(340)
31.0 Equipment	80,124	34,613	19,119	(15,494)
32.0 Land & structures	170	1,399	1,222	(177)
42.0 Insurance Claims and Indemnity	73	69	61	(8)
<b>Total, Other Object Classes</b>	<b>786,564</b>	<b>768,695</b>	<b>688,557</b>	<b>(80,138)</b>
<b>Total, Direct Obligations</b>	<b>1,023,345</b>	<b>1,031,926</b>	<b>969,709</b>	<b>(62,217)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,023,345</b>	<b>1,031,926</b>	<b>969,709</b>	<b>(62,217)</b>
<b>Full Time Equivalents</b>	<b>1,482</b>	<b>1,755</b>	<b>1,861</b>	<b>106</b>

## F. Permanent Positions by Grade

### Department of Homeland Security Transportation Security Administration Transportation Security Support: Permanent Positions by Grade

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
L Band	52	52	52	-
K Band	345	341	341	-
J Band	661	655	660	5
I Band	341	334	372	38
H Band	240	231	267	36
G Band	143	137	168	31
F Band	65	63	70	7
E Band	17	14	18	4
D Band	9	8	9	1
B Band	2	3	3	-
Total, SES	31	31	31	-
Total, EX	1	1	1	-
<b>Total Permanent Positions</b>	<b>1,907</b>	<b>1,870</b>	<b>1,992</b>	<b>122</b>
Unfilled Positions EOY	425	115	131	16
Total Permanent Employment EOY	1,482	1,755	1,861	106
Headquarters	1,624	1,578	1,704	126
U.S. Field	283	292	288	(4)
<b>Total, Transportation Security Support:</b>	<b>1,907</b>	<b>1,870</b>	<b>1,992</b>	<b>122</b>
<b>Full Time Equivalents</b>	<b>1,482</b>	<b>1,755</b>	<b>1,861</b>	<b>106</b>
Average ES Salary	169,092	165,462	165,462	-
Average Salary, Banded Positions	111,485	112,114	112,114	-
Average Band	J	J	J	

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Intelligence**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	17,082	22,978	24,987	2,009
11.3 Other than full-time permanent	21	86	94	8
11.5 Other personnel compensation	289	1,083	1,178	95
11.6 Pay Diff (Sun/Night)	96	-	-	-
11.7 Military personnel/Awards	312	-	-	-
12.1 Benefits	4,848	6,421	6,983	562
<b>Total, Personnel and Compensation Benefits</b>	<b>22,648</b>	<b>30,568</b>	<b>33,242</b>	<b>2,674</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	619	801	761	(40)
22.0 Transportation of things	10	6	6	-
23.3 Communications, utilities, and misc. charges	17	-	-	-
25.1 Advisory and assistance services	8,500	-	77	77
25.2 Other services	2,885	10,924	10,384	(540)
25.3 Purchases from Gov't accts.	-	170	162	(8)
25.6 Medical care	7	2	2	-
26.0 Supplies and materials	232	288	274	(14)
31.0 Equipment	-	233	222	(11)
<b>Total, Other Object Classes</b>	<b>12,270</b>	<b>12,424</b>	<b>11,888</b>	<b>(536)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,918</b>	<b>42,992</b>	<b>45,130</b>	<b>2,138</b>
<b>Full Time Equivalents</b>	<b>160</b>	<b>223</b>	<b>243</b>	<b>20</b>

### Intelligence Mission Statement

Provide Intelligence Analysis, Coordination, and Dissemination -- TSA will continue to provide current and strategic warning regarding threats to U.S. transportation modes and identify trends and changes in targeting. The TSA intelligence unit analyzes intelligence and disseminates information through liaison with intelligence community agencies.



## Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	17,082	22,978	24,987	2,009
11.3 Other than full-time permanent	21	86	94	8
11.5 Other personnel compensation	289	1,083	1,178	95
11.6 Pay Diff (Sun/Night)	96	-	-	-
11.7 Military personnel/Awards	312	-	-	-
12.1 Benefits	4,848	6,421	6,983	562
<b>Total, Salaries &amp; Benefits</b>	<b>22,648</b>	<b>30,568</b>	<b>33,242</b>	<b>2,674</b>

Salaries and Benefits are for 256 FTP/ 243 FTE. The FY 2013 request reflects a decrease in overtime in accordance with Enterprise-Wide efficiencies and an increase for the realignment of 24 FTP/23 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$619	\$801	\$761	-\$40

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$8,500	0	\$77	\$77

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal government. The FY 2013 request reflects a decrease in advisory and assistance services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$2,885	\$10,924	\$10,384	-\$540

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included in this category is contractual services for intelligence support. The FY 2013 request reflects a decrease in other services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	\$170	\$162	-\$8

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is for new staff. The FY 2013 request reflects a decrease in purchases from government accounts in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$232	\$288	\$274	-\$14

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	0	\$233	\$222	-\$11

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Headquarters Administration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	102,929	117,980	121,856	3,876
11.3 Other than full-time permanent	1,575	2,071	2,140	69
11.5 Other personnel compensation	64	6,227	6,432	205
11.6 Pay Diff (Sun/Night)	3,539	-	-	-
11.7 Military personnel/Awards	1,678	-	-	-
12.1 Benefits	33,485	35,689	36,862	1,173
<b>Total, Personnel and Compensation Benefits</b>	<b>143,270</b>	<b>161,967</b>	<b>167,290</b>	<b>5,323</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5,353	6,178	5,397	(781)
22.0 Transportation of things	268	319	279	(40)
23.1 GSA rent	1,775	1,959	1,711	(248)
23.2 Other rent	27,641	27,445	23,974	(3,471)
23.3 Communications, utilities, and misc. charges	1,442	427	373	(54)
24.0 Printing	32	162	141	(21)
25.1 Advisory and assistance services	28,660	12,848	11,607	(1,241)
25.2 Other services	9,726	51,612	45,087	(6,525)
25.3 Purchases from Gov't accts.	20,487	16,498	14,412	(2,086)
25.4 O&M of facilities	8,608	6,662	5,819	(843)
25.6 Medical care	4	27	23	(4)
25.7 Operation and maintenance of equipment	1,730	978	854	(124)
26.0 Supplies and materials	1,258	1,875	1,638	(237)
31.0 Equipment	1,725	1,950	1,703	(247)
32.0 Land & structures	170	1,399	1,222	(177)
42.0 Insurance Claims and Indemnity	-	28	24	(4)
<b>Total, Other Object Classes</b>	<b>108,879</b>	<b>130,367</b>	<b>114,264</b>	<b>(16,103)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>252,149</b>	<b>292,334</b>	<b>281,554</b>	<b>(10,780)</b>
<b>Full Time Equivalents</b>	<b>936</b>	<b>1,172</b>	<b>1,194</b>	<b>22</b>

**Headquarters Administration Mission Statement**

TSA Headquarters Administration include such critical functions as Assistant Secretary and Deputy Assistant Secretary, Office of Inspection, Chief Counsel, Finance and Administration, Legislative Affairs, Special Counselor, Acquisition, Security, and Strategic Communications and Public Affairs. These services are essential for the effective and efficient operation of the Agency.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	102,929	117,980	121,856	3,876
11.3 Other than full-time permanent	1,575	2,071	2,140	69
11.5 Other personnel compensation	64	6,227	6,432	205
11.6 Pay Diff (Sun/Night)	3,539	-	-	-
11.7 Military personnel/Awards	1,678	-	-	-
12.1 Benefits	33,485	35,689	36,862	1,173
<b>Total, Salaries &amp; Benefits</b>	<b>143,270</b>	<b>161,967</b>	<b>167,290</b>	<b>5,323</b>

Salaries and benefits are for 1,194 FTE. The FY 2013 request includes FTE for the enhanced security initiatives and Acquisition Workforce enhancement. The FY 2013 request reflects a decrease in overtime in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$5,353	\$6,178	\$5,397	-\$781

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects reductions for Enterprise-Wide efficiencies, administrative/professional support efficiencies, and other administrative savings initiatives. The FY 2013 request reflects a decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$268	\$319	\$279	-\$40

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 reflects administrative savings initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$1,775	\$1,959	\$1,711	-\$248

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$27,641	\$27,445	\$23,974	-\$3,471

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request reflects a realignment, non-pay inflation, and an efficiency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$1,442	\$427	\$373	-\$54

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects a decrease in communication, utilities, and misc charges in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$32	\$162	\$141	-\$21

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request reflects a decrease in printing in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$28,660	\$12,848	\$11,607	-\$1,241

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal government. The FY 2013 request reflects a decrease in advisory and assistance services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$9,726	\$51,612	\$45,087	-\$6,525

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included under this object class are contracts for security support, EEO support, and corporate training. The FY 2013 request reflects a decrease in other services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$20,487	\$16,498	\$14,412	-\$2,086

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects a decrease in purchases from government accounts in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$8,608	\$6,662	\$5,819	-\$843

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$4	\$27	\$23	-\$4

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$1,730	\$978	\$854	-\$124

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request includes a conversion of contracts to FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$1,258	\$1,875	\$1,638	-\$237

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2013 request reflects a decrease in supplies and materials in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$1,725	\$1,950	\$1,703	-\$247

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects a decrease in equipment in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$170	\$1,399	\$1,222	-\$177

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
42.0 Insurance Claims and Indemnity	0	\$28	\$24	-\$4

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Human Capital Services**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	23,483	22,915	23,795	880
11.3 Other than full-time permanent	632	456	474	18
11.5 Other personnel compensation	3	761	790	29
11.6 Pay Diff (Sun/Night)	22	-	-	-
11.7 Military personnel/Awards	332	-	-	-
12.1 Benefits	6,460	5,933	6,160	227
13.0 Unemployment Compensation	9,903	6,685	6,942	257
<b>Total, Personnel and Compensation Benefits</b>	<b>40,835</b>	<b>36,750</b>	<b>38,161</b>	<b>1,411</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,753	2,825	2,492	(333)
22.0 Transportation of things	19	66	58	(8)
23.2 Other rent	53	334	295	(39)
23.3 Communications, utilities, and misc. charges	1	16	14	(2)
24.0 Printing	76	66	58	(8)
25.1 Advisory and assistance services	133,471	124,146	103,303	(20,843)
25.2 Other services	45,294	59,212	58,527	(685)
25.3 Purchases from Gov't accts.	14,749	25,479	22,475	(3,004)
25.6 Medical care	5	14	12	(2)
26.0 Supplies and materials	290	288	254	(34)
31.0 Equipment	91	204	180	(24)
42.0 Insurance Claims and Indemnity	8	-	-	-
<b>Total, Other Object Classes</b>	<b>195,810</b>	<b>212,650</b>	<b>187,668</b>	<b>(24,982)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>236,645</b>	<b>249,400</b>	<b>225,829</b>	<b>(23,571)</b>
<b>Full Time Equivalents</b>	<b>206</b>	<b>144</b>	<b>150</b>	<b>6</b>

**Human Capital Services Mission Statement**

Human Capital Services include all the activities that support the Office of Human Capital Services (OHCS) including the recruitment, assessment, servicing, and payroll of TSA's Transportation Security Officers and other workforce at headquarters, field locations, and airports, and personnel policies, programs and systems.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	23,483	22,915	23,795	880
11.3 Other than full-time permanent	632	456	474	18
11.5 Other personnel compensation	3	761	790	29
11.6 Pay Diff (Sun/Night)	22	-	-	-
11.7 Military personnel/Awards	332	-	-	-
12.1 Benefits	6,460	5,933	6,160	227
13.0 Unemployment Compensation	9,903	6,685	6,942	257
<b>Total, Salaries &amp; Benefits</b>	<b>40,835</b>	<b>36,750</b>	<b>38,161</b>	<b>1,411</b>

Salaries and benefits are for 150 FTE. The FY 2013 request includes conversions of contracts to government FTEs and realignments. The FY 2013 request reflects a decrease in overtime in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$1,753	\$2,825	\$2,492	-\$333

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$19	\$66	\$58	-\$8

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 request reflects administrative savings initiatives.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$53	\$334	\$295	-\$39

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$1	\$16	\$14	-\$2

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects a decrease in communication, utilities, and misc charges in accordance with Enterprise-Wide efficiencies.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$76	\$66	\$58	-\$8

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request reflects a decrease in printing in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$133,471	\$124,146	\$103,303	-\$20,843

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal government. The FY 2013 request reflects a decrease in advisory and assistance services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$45,294	\$59,212	\$58,527	-\$685

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Included under this object class are contracts for security support, EEO support, and corporate training. The FY 2013 request reflects a decrease in other services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$14,749	\$25,479	\$22,475	-\$3,004

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects a decrease in purchases from government accounts in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	\$5	\$14	\$12	-\$2

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$290	\$288	\$254	-\$34

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FY 2013 request reflects a decrease in supplies and materials in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$91	\$204	\$180	-\$24

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security  
Transportation Security Administration  
Transportation Security Support:  
Information Technology  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	23,347	25,971	32,484	6,513
11.3 Other than full-time permanent	26	-	-	-
11.5 Other personnel compensation	57	1,140	1,427	287
11.6 Pay Diff (Sun/Night)	46	1	-	(1)
11.7 Military personnel/Awards	212	-	-	-
12.1 Benefits	6,340	6,834	8,548	1,714
<b>Total, Personnel and Compensation Benefits</b>	<b>30,028</b>	<b>33,946</b>	<b>42,459</b>	<b>8,513</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	586	302	212	(90)
22.0 Transportation of things	57	39	35	(4)
23.1 GSA rent	1,379	1,037	940	(97)
23.3 Communications, utilities, and misc. charges	39,631	46,435	44,096	(2,339)
25.1 Advisory and assistance services	214,764	216,782	206,016	(10,766)
25.2 Other services	72,881	20,900	17,818	(3,082)
25.3 Purchases from Gov't accts.	53,303	68,209	63,836	(4,373)
25.4 O&M of facilities	321	352	319	(33)
25.7 Operation and maintenance of equipment	7,698	26,350	23,888	(2,462)
26.0 Supplies and materials	612	581	526	(55)
31.0 Equipment	78,308	32,226	17,014	(15,212)
42.0 Insurance Claims and Indemnity	65	41	37	(4)
<b>Total, Other Object Classes</b>	<b>469,605</b>	<b>413,254</b>	<b>374,737</b>	<b>(38,517)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>499,633</b>	<b>447,200</b>	<b>417,196</b>	<b>(30,004)</b>
<b>Full Time Equivalents</b>	<b>180</b>	<b>216</b>	<b>274</b>	<b>58</b>

**Information Technology Mission Statement**

Information Technology provides and maintains the IT network and infrastructure services and support for all of TSA. TSA will continue to enhance the effectiveness of its entire workforce through its IT core support.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	23,347	25,971	32,484	6,513
11.3 Other than full-time permanent	26	-	-	-
11.5 Other personnel compensation	57	1,140	1,427	287
11.6 Pay Diff (Sun/Night)	46	1	-	(1)
11.7 Military personnel/Awards	212	-	-	-
12.1 Benefits	6,340	6,834	8,548	1,714
<b>Total, Salaries &amp; Benefits</b>	<b>30,028</b>	<b>33,946</b>	<b>42,459</b>	<b>8,513</b>

Salaries and Benefits represent costs for 274 FTE. The FY 2013 request includes conversions of contracts to government FTEs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$586</b>	<b>\$302</b>	<b>\$212</b>	<b>-\$90</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a decrease in travel in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$57</b>	<b>\$39</b>	<b>\$35</b>	<b>-\$4</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,379</b>	<b>\$1,037</b>	<b>\$940</b>	<b>-\$97</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$39,631</b>	<b>\$46,435</b>	<b>\$44,096</b>	<b>-\$2,339</b>

Communications, utilities, and miscellaneous charges includes all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects a decrease in communications, utilities, and misc. charges in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$214,764</b>	<b>\$216,782</b>	<b>\$206,016</b>	<b>-\$10,766</b>

Advisory and assistance services includes services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a decrease in advisory and assistance services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$72,881	\$20,900	\$17,818	-\$3,082

Other services includes report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request includes a PPA reduction and non-recurring funds. The FY 2013 request reflects a decrease in other services in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$53,303	\$68,209	\$63,836	-\$4,373

Purchases from Government Accounts includes costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request includes the Working Capital Fund, and also reflects a decrease in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$321	\$352	\$319	-\$33

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects conversion of contracts to FTE and realignments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$7,698	\$26,350	\$23,888	-\$2,462

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects conversion of contracts to FTE and realignments.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$612	\$581	\$526	-\$55

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. Some software purchases and computer supplies are included in this object class. The FY 2013 request reflects a decrease in supplies and materials in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$78,308	\$32,226	\$17,014	-\$15,212

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request includes a non-recur for Whisper Communications technology and a decrease in equipment in accordance with Enterprise-Wide efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>42.0 Insurance Claims and Indemnity</b>	\$65	\$41	\$37	-\$4

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>1,414</b>	<b>1,482</b>	<b>1,755</b>
<b>Increases</b>			
Trasfer in to Support from TTAC	-	-	23
Balance Workforce Follow-on Conversions	68	107	109
Enhanced Watchlist Vetting	-	23	-
Visa Holder Vetting	-	9	-
Acquisition Workforce	-	7	7
Transfer from Aviation	-	130	-
<b>Subtotal, Increases</b>	<b>68</b>	<b>276</b>	<b>139</b>
<b>Decreases</b>			
Transfer from Support to Aviation	-	(3)	(14)
Other Adjustments to the base	-	-	(19)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(3)</b>	<b>(33)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>1,482</b>	<b>1,755</b>	<b>1,861</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>68</b>	<b>273</b>	<b>106</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

Program/Project/Activity	FY 2011 Actual Obligations Amount	FY 2012 Enacted Budget Authority Amount	FY 2013 Requested Budget Authority Amount	Increase/Decrease for FY 2013 Amount
Intelligence	0	0	1,223	1,223
Headquarters Administration	3,641	3,841	5,841	2,000
Human Capital Services	0	3,282	3,283	1
Information Technology	44,211	41,054	63,503	22,449
<b>Total Working Capital Fund</b>	<b>47,852</b>	<b>48,177</b>	<b>73,850</b>	<b>25,673</b>



## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

The Transportation Security Administration requests 109 FTE for the FY 2013 DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Pres. Budget		FY 2012 Annualization		FY 2012 Follow On		FY 2012 Increase		FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Program Analyst	-	-	-	-	-	-	16	16	-	-	16	16
Financial Analyst	-	-	-	-	-	-	25	24	-	-	25	24
Human Resource Management/Specialist	-	-	-	-	-	-	8	8	-	-	8	8
Information Technology Specialist							63	61			63	61
<b>Total</b>	-	-	-	-	-	-	112	109	-	-	112	109

**FY 2013 DHS Balanced Workforce Strategy**

Not Applicable

**Annualization of FY 2012 DHS Balanced Workforce Strategy**

Not Applicable

**DHS Balanced Workforce Strategy Follow-On**

- The FY 2013 DHS Balanced Workforce includes 112 FTP, 109 FTE and \$0 for various Aviation programs:
  - TSA does not have plans for the conversion of contracts in FY 2013.
  - TSA does not need funds for Annualization of FY 2012 DHS Balanced Workforce.
  - TSA FY 2013 budget request does reflect additional 112 FTP/109 FTE that resulted from contract conversions completed in FY 2011. These positions were annualized in the FY 2012 base, and full costs were included in the FY 2013 current services.

# Department of Homeland Security

*Transportation Security Administration  
Federal Air Marshal Service*

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Fiscal Year 2013  
Congressional Justification

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<b>BUDGET REQUEST AND SUPPORTING INFORMATION</b>
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**Transportation Security Administration  
Federal Air Marshal Service**

## **I. Appropriation Overview**

### **A. Mission Statement for Federal Air Marshal Service:**

The Federal Air Marshal Service (FAMS) promotes public confidence in our Nation's civil transportation systems through the effective risk-based strategic deployment of Federal Air Marshals (FAMs) in both air and land based mission-related assignments. The organization's primary focus is to detect, deter, and defeat terrorist or other criminal hostile acts targeting U.S. air carriers, airports, passengers, and crew.

### **B. Budget Activities:**

#### **Management and Administration (M&A)**

The FAMS's mission demands a host of critical planning, operational, and support programs to protect the public from the threat of a terrorist attack or other criminal activity. The FAMS' M&A programs encompass vital enforcement, information management, and infrastructure components necessary to support core operations. Examples include the FAMS's participation in Joint Terrorism Task Force (JTTF) activities, management and implementation of a sophisticated flight/mission scheduling and notification system, and performance of mission critical workforce management, command and control, information technology, logistics, and related services.

#### **Travel and Training (T&T)**

In order to maintain optimum readiness and to perform its primary operational functions, the FAMS requires extensive training and mission travel capabilities. FAMs must undergo continuous training to maintain and expand their expertise in the full-range of skills necessary to operate within the transportation domain, to include specialized tactics, enforcement, surveillance detection, marksmanship, and other skill sets. Furthermore, this PPA funds FAMS's mission travel, which is an integral component of the international and domestic flight coverage activities that are core to the FAMS mission.

### **C. Budget Request Summary:**

The Transportation Security Administration (TSA) requests \$929,610,000 million in FY 2013. This includes an adjustment-to-base decrease of \$12,482,000 and a program decrease of \$24,023,000.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Transportation Security Administration Federal Air Marshals:

#### Summary of FY 2013 Budget Estimates by Program Project Activity

#### FY 2013 Requested Budget Authority (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Management and Administration	-	-	801,034	-	-	842,500	-	-	815,639	-	-	(26,861)	-	-	(22,023)	-	-	(4,838)
Travel and Training	-	-	125,006	-	-	123,615	-	-	113,971	-	-	(9,644)	-	-	(2,000)	-	-	(7,644)
<b>Total, Federal Air Marshals:</b>	-	-	<b>926,040</b>	-	-	<b>966,115</b>	-	-	<b>929,610</b>	-	-	<b>(36,505)</b>	-	-	<b>(24,023)</b>	-	-	<b>(12,482)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>926,040</b>	-	-	<b>966,115</b>	-	-	<b>929,610</b>	-	-	<b>(36,505)</b>	-	-	<b>(24,023)</b>	-	-	<b>(12,482)</b>
<b>Less:</b>																		
Sources Prior year Rescissions	-	-	-	-	-	(296)	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>926,040</b>	-	-	<b>965,819</b>	-	-	<b>929,610</b>	-	-	<b>(36,505)</b>	-	-	<b>(24,023)</b>	-	-	<b>(12,482)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Management and Administration  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Management and Administration**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	-	-	<b>801,034</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>842,500</b>
2013 Adjustments-to-Base	-	-	(4,838)
<b>2013 Current Services</b>	-	-	<b>837,662</b>
2013 Program Change	-	-	(22,023)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>815,639</b>
Total Change 2012 to 2013	-	-	(26,861)

The Transportation Security Administration requests \$815.6 million for this activity. The request includes an increase of \$2.7 million for pay COLA. The adjustments-to-base include a decrease of \$7.6 million for management efficiencies in administrative/professional support, logistics, personnel security, supplies, and other expenses. The request also reflects a program decrease of \$22.0 million.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Management & Administration (M&A) PPA funds the FAMS’s payroll costs and supports all operational and infrastructure requirements with the exception of training and travel expenses. The vast majority of this PPA funds the salaries for FAMS and the civilian workforce to provide the vital protective and law enforcement services necessary for both domestic and international air travel as well as other transportation related security activities.

The remaining balance of M&A’s funding supports the continuing development and maintenance of the Service’s infrastructure, internal business processes, and systems that enable FAMS to seamlessly perform the integrated set of functions that make up their mission. In addition to the activities detailed below, M&A provides funding for workforce management activities; information technology; leasing and maintenance of facilities in the Washington, D.C. area, Atlantic City, NJ, and 23 field and three Resident Agent in Charge offices across the country including a Baltimore Field Office; and program infrastructure and logistics support such as vehicles, communications, duty equipment, and physical security.

Key programs of the Management & Administration PPA include:

**Joint Terrorism Task Force (JTTF):** The FAMS is a full participant in the JTTF, a nation-wide counter-terrorism enforcement program managed by the Federal Bureau of Investigation (FBI). The JTTF targets terrorism-related criminal threats against the United States and its interests. Since 2002, the FAMS has been an active full-time partner in the JTTF. The FAMS's personnel are assigned to partner with other task force member agencies to provide support during investigations of aviation and other transportation-related threats. The working relationships between the FAMS and other task force participants enable real-time information sharing. Further, it enhances both short-term decision making during immediate critical threats and long-term strategic decision making during the evolution of ongoing threats, such as the 2010 printer cartridge bomb plot.

**Transportation Information Sharing System (TISS):** The TISS enables the collection, analysis, and dissemination of intelligence information observed by FAMs, TSA personnel, and state/local law enforcement in the transportation sector. FAMs routinely submit Suspicious Incident Reports when they observe activities that fall below a predetermined threshold of an actionable incident. The information is used to identify a nexus of terrorist or criminal-related activity, as well as trends, patterns, or associations that may reveal circumstances or subjects that are deemed to be of interest to Department of Homeland Security (DHS) Office of Intelligence and Analysis.

**Visible Intermodal Prevention and Response (VIPR):** Deployments are conducted in all modes of transportation to detect, deter, defeat, and disrupt potential terrorist activity. VIPR operations consist of teams of TSA personnel including FAMs, Transportation Security Inspectors, Transportation Security Officers, Behavior Detection Officers, Explosive Detection Canine Teams, Transportation Security Specialists - Explosives, and Federal, State and local law enforcement officers. The teams are tailored to each transportation mode, integrating the specific needs of each transportation partner at the venue level. In addition, these deployments incorporate elements of randomness and are unpredictable in frequency, location, and duration. VIPR operations are planned and implemented through a risk-based deployment methodology that utilizes existing national and local intelligence, data analysis, and security assessments. These resources are used to enhance TSA's overall ability to act as a visible deterrent across multiple transportation sectors, to screen passengers, and to identify suspicious behavior. This program is funded by approximately \$13 million in the M&A PPA, included in pay and general expenses.

The following table provides the major components of the M&A PPA, with resources shown in millions of dollars.

	FY 2012	FY 2013
Payroll, Compensation and Benefits	\$731.5	\$712.3
Information Technology	49.4	46.7
Operations Infrastructure	61.6	56.6
<b>Total</b>	<b>\$842.5</b>	<b>\$815.6</b>



**Payroll, Compensation and Benefits – \$712.3M:** This component, which amounts to approximately 88 percent of the total FAMS’s M&A budget, covers all pay, compensation and benefits, overtime, Law Enforcement Availability Pay, awards, and workers’ compensation payments for the Service’s FAM and civilian work force. The FAMS’s personnel are arrayed throughout the country and provide the manpower necessary to conduct the Service’s full range of operations.

**Information Technology (IT) – \$46.7M:** The FAMS’s IT capability is critical to providing the Service and individual FAMS with the vital automated tools, systems, and computer security technology necessary to ensure accomplishment of the FAMS mission.

The M&A PPA also provides funding for the FAMS’s Mission Scheduling and Notification System (MSNS), the core automated system used by the Service for planning, scheduling, and implementing FAMS’ flight coverage operations. The MSNS uses a risk-based process that selects from over 28,000 daily U.S. commercial airline flights to prioritize deployments of thousands of FAMS worldwide.

**Operations Infrastructure – \$56.6M:** Funding for the Operations Infrastructure component supports critical activities including, but not limited to: permanent change of station; facility build out, leases, utilities, and maintenance; vehicles; telecommunications; background investigations; and logistics management.

The following table provides a further breakout of the Administrative Savings for this initiative:

Administrative Savings – (\$7.581 Million)  
(dollars in thousands)

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$4,643)
Overtime	(\$ 1,095)	
Conferences	(\$ 248)	
DHS Strategic Sourcing Initiatives	(\$ 19)	
OFPP Directed Purchasing Savings	(\$ 3,281)	
Admin/Professional Support Contract Efficiencies		(\$ 345)
Management Adjustments		(\$ 2,593)

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Travel and Training  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Travel and Training**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>125,006</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>123,615</b>
2013 Adjustments-to-Base	-	-	(7,644)
<b>2013 Current Services</b>	-	-	<b>115,971</b>
2013 Program Change	-	-	(2,000)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>113,971</b>
Total Change 2012 to 2013	-	-	(9,644)

The Transportation Security Administration requests \$114.0 million for this activity. The adjustments-to-base include a decrease of \$7.7 million for management efficiencies in mission travel, training, and other expenses. The request also reflects a program decrease of \$2.0 million.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Travel and Training (T&T) PPA supports the FAMS’s core requirements for travel, travel-associated costs, and training. The following table provides the major component parts of the T&T PPA, with resources shown in millions of dollars.

	<b>FY 2012</b>	<b>FY 2013</b>
Travel	\$116.1	\$107.5
Training	7.5	6.5
<b>Total</b>	<b>\$123.6</b>	<b>\$114.0</b>

**Travel – \$107.5M:** This portion funds all travel necessary to perform domestic and international mission coverage, mission essential training, and other business-related travel in support of FAMS operational and programmatic goals. The FAMS schedules the coverage of high-risk flights according to a concept of operations that incorporates threat, vulnerability, and consequence. Each year, the FAMS continues to provide priority flight coverage operations in accordance with their Concept of Operations.

**Training – \$6.5M:** Through its training programs, the FAMS provides effective learning environments and opportunities for its employees by utilizing current and relevant curricula and training methodologies to enable and challenge FAMS to perform their duties and responsibilities in a highly effective and efficient manner.

Upon entry into the FAMS training program, FAM trainees undergo an intensive 16.5-week training program conducted at the Federal Law Enforcement Training Center (FLETC) in Artesia, NM and at the FAMS Training Center (FAMSTC) in Atlantic City, NJ. The training component provides for all associated training requirements to include FLETC-related expenses, role player contracts, hotel lodging contracts for Atlantic City-based classes, training supplies, firing range fees, training gear, equipment, and clothing. Once assigned to a field office, FAMS undergo recurrent, in-service training to maintain the necessary skill base and firearms certification levels on a quarterly basis. Currently, the FAMS has the highest firearms qualification score of any Federal agency (85 percent or 255/300).

Additional training offered by the FAMS includes a robust FAMS Field Office Recurrent Training Program which requires all mission status FAMS to complete 160 hours of recurrent training a year. The training is designed to maintain and enhance perishable tactical skills critical to the success of the FAMS’s mission. The FAMS’s Training Division (FAMSTD) is also responsible for providing instructor development courses for field based and newly assigned FAMSTD instructors. This is accomplished through a series of train-the-trainer courses offered at the FAMSTC that focus on supporting the FAMS mission. There is also a strong emphasis placed on training to support professional/technical development, leadership/management development, and career development for the entire FAMS workforce.

The following table provides a further breakout of the Administrative Savings for this initiative:

Administrative Savings - (\$7.644 Million)  
(dollars in thousands)

Item	Sub-Total	Total
Enterprise-Wide Efficiencies		(\$5,691)
General TDY	(\$5,691)	
Management Adjustments		(\$ 1,953)

## IV. Program Justification Changes

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** FAMS Efficiency  
 PPA: Travel and Training  
 Management and Administration  
 Program Decrease: Positions 0, FTE 0, Dollars \$(24,023)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease – Management & Administration							-	-	(22,023)
Program Decrease – Travel and Training									(2,000)
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>(24,023)</b>

**Description of Item**

FAMS primary focus is to detect, deter, and defeat terrorist or other criminal or hostile acts targeting U.S. air carriers, airports, passengers, and crew. The FY 2013 request proposes a program decrease of \$24.0 million -- \$22 million in the Management and Administration PPA and \$2 million in the Travel and Training PPA.

**Justification**

The reduction of \$24.0 million reflects ongoing efficiencies and program changes that leverage the Nation’s other transportation security systems. The requested funding level preserves the Federal Air Marshal Service’s capability to continue coverage of high priority flights

The Federal Air Marshal Service will implement this program decrease by reducing operational and infrastructure activities such as mission travel, training, logistics, personnel security, and supplies. FAMS will also reduce personnel costs through a hiring freeze and attrition.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The Federal Air Marshal Service will implement this program decrease by absorbing reductions to operational and infrastructure activities such as mission travel, training, logistics, personnel security, supplies, and attrition. The requested funding level preserves the Federal Air Marshal Service's capability to continue coverage of high priority flights.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For necessary expenses of the Federal Air Marshals, [966,115,000] \$929,610,000. (*Department of Homeland Security Appropriations Act, 2012.*)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	-	-	<b>926,040</b>
<b>FY 2012 Enacted Budget Authority</b>	-	-	<b>966,115</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	2,743
<b>Total, Increases</b>	-	-	<b>2,743</b>
<b>Decreases</b>	-	-	-
Enterprise-Wide Efficiencies	-	-	(10,334)
Admin/Professional Support Efficiencies	-	-	(345)
Management Adjustments	-	-	(4,546)
<b>Total, Decreases</b>	-	-	<b>(15,225)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(12,482)</b>
 <b>FY 2013 Current Services</b>	 -	 -	 <b>953,633</b>
 <b>Program Changes</b>	 -	 -	 -
<b>Decreases</b>	-	-	-
FAMS Efficiency	-	-	(24,023)
<b>Total, Decreases</b>	-	-	<b>(24,023)</b>
<b>Total, Program Changes</b>	-	-	<b>(24,023)</b>
 <b>FY 2013 Requested Budget Authority</b>	 -	 -	 <b>929,610</b>
 <b>FY 2012 to FY 2013 Total Change</b>	 -	 -	 <b>(36,505)</b>

<sup>1</sup>FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$296,000, pursuant to P.L. 112-74.

## C. Summary of Requirements

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	-	-	926,040
<b>FY 2012 Enacted Budget Authority</b>	-	-	966,115
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	2,743
Decreases	-	-	(15,225)
<b>Total, Adjustments-to-Base</b>	-	-	(12,482)
<b>FY 2013 Current Services</b>	-	-	953,633
<b>Program Changes</b>	-	-	-
Decreases	-	-	(24,023)
<b>Total, Program Changes</b>	-	-	(24,023)
<b>FY 2013 Requested Budget Authority</b>	-	-	929,610
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(36,505)

<sup>1</sup>FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$296,000, pursuant to P.L. 112-74.

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Management and Administration	-	-	842,500	-	-	(4,838)	-	-	(22,023)	-	-	815,639	-	-	(26,861)
Travel and Training	-	-	123,615	-	-	(7,644)	-	-	(2,000)	-	-	113,971	-	-	(9,644)
<b>Total</b>	-	-	<b>966,115</b>	-	-	<b>(12,482)</b>	-	-	<b>(24,023)</b>	-	-	<b>929,610</b>	-	-	<b>(36,505)</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Director of National Intelligence	-	-	-	-	-	202	-	-	202	-	-	-
Federal Bureau of Investigation	-	-	6	-	-	-	-	-	-	-	-	-
Recovery Accountability & Transparency Board	-	-	187	-	-	-	-	-	-	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>193</b>	-	-	<b>202</b>	-	-	<b>202</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Management and Administration	-	-	193	-	-	202	-	-	202	-	-	-
<b>Total Obligations</b>	-	-	<b>193</b>	-	-	<b>202</b>	-	-	<b>202</b>	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations <sup>1</sup>	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	367,780	397,792	388,571	(9,221)
11.3 Other than full-time permanent	319	13,808	13,393	(415)
11.5 Other personnel compensation	114,687	114,333	110,892	(3,441)
11.6 Pay Diff (Sun/Night)	2,349	-	-	-
11.8 Special Service Pay	-	687	666	(21)
12.1 Benefits	198,910	204,898	198,731	(6,167)
13.0 Unemployment Compensation	181	-	-	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>684,226</b>	<b>731,518</b>	<b>712,253</b>	<b>(19,265)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	113,483	118,538	109,887	(8,651)
22.0 Transportation of things	259	281	267	(14)
23.1 GSA rent	2,674	3,656	3,388	(268)
23.2 Other rent	17,586	16,776	15,298	(1,478)
23.3 Communications, utilities, and misc. charges	12,163	15,303	13,917	(1,386)
24.0 Printing	10	10	10	-
25.1 Advisory and assistance services	20,386	14,192	13,046	(1,146)
25.2 Other services	19,963	26,729	26,904	175
25.3 Purchases from Gov't accts.	21,889	12,950	10,957	(1,993)
25.4 O&M of facilities	12,875	3,208	2,964	(244)
25.6 Medical care	9	1,909	1,861	(48)
25.7 Operation and maintenance of equipment	2,942	5,838	5,200	(638)
26.0 Supplies and materials	6,271	5,566	5,390	(176)
31.0 Equipment	10,945	9,640	8,267	(1,373)
42.0 Insurance Claims and Indemnity	359	1	1	-
<b>Total, Other Object Classes</b>	<b>241,814</b>	<b>234,597</b>	<b>217,357</b>	<b>(17,240)</b>
<b>Total, Direct Obligations</b>	<b>926,040</b>	<b>966,115</b>	<b>929,610</b>	<b>(36,505)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>926,040</b>	<b>966,115</b>	<b>929,610</b>	<b>(36,505)</b>
<b>Full Time Equivalents</b>	-	-	-	-

<sup>1</sup>FY11 object class obligations reflect current reported year-end breakout.

## **F. Permanent Positions by Grade**

**N/A**

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Management and Administration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	367,780	397,792	388,571	(9,221)
11.3 Other than full-time permanent	319	13,808	13,393	(415)
11.5 Other personnel compensation	114,687	114,333	110,892	(3,441)
11.6 Pay Diff (Sun/Night)	2,349	-	-	-
11.8 Special Service Pay	-	687	666	(21)
12.1 Benefits	198,910	204,898	198,731	(6,167)
13.0 Unemployment Compensation	181	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>684,226</b>	<b>731,518</b>	<b>712,253</b>	<b>(19,265)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,738	2,441	2,387	(54)
22.0 Transportation of things	259	281	267	(14)
23.1 GSA rent	2,674	3,656	3,388	(268)
23.2 Other rent	16,455	15,626	14,148	(1,478)
23.3 Communications, utilities, and misc. charges	12,163	15,303	13,917	(1,386)
24.0 Printing	9	10	10	-
25.1 Advisory and assistance services	20,386	14,192	13,046	(1,146)
25.2 Other services	14,714	24,291	25,513	1,222
25.3 Purchases from Gov't accts.	18,517	11,655	9,662	(1,993)
25.4 O&M of facilities	12,875	3,208	2,964	(244)
25.6 Medical care	-	1,909	1,861	(48)
25.7 Operation and maintenance of equipment	2,942	5,838	5,200	(638)
26.0 Supplies and materials	3,510	2,931	2,755	(176)
31.0 Equipment	9,207	9,640	8,267	(1,373)
42.0 Insurance Claims and Indemnity	359	1	1	-
<b>Total, Other Object Classes</b>	<b>116,808</b>	<b>110,982</b>	<b>103,386</b>	<b>(7,596)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>801,034</b>	<b>842,500</b>	<b>815,639</b>	<b>(26,861)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Management and Administration Mission Statement

The Management and Administration (M&A) PPA funds the FAMS' staffing/payroll requirements, which include: salary/compensation, benefits, awards, overtime, etc. In addition, M&A funds critical administrative and operational requirements including the FAMS' mission scheduling system and information technology requirements, rent, wireless communications systems; recruitment/hiring and retention services (background investigations, security clearances, medical exams/physicals, drug tests); and a host of program support services and requirements (interagency agreements, vehicle leasing, shipment of goods, utilities/communications, janitorial services, supplies, duty equipment, printing, physical security, etc.)

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	367,780	397,792	388,571	(9,221)
11.3 Other than full-time permanent	319	13,808	13,393	(415)
11.5 Other personnel compensation	114,687	114,333	110,892	(3,441)
11.6 Pay Diff (Sun/Night)	2,349	-	-	-
11.8 Special Service Pay	-	687	666	(21)
12.1 Benefits	198,910	204,898	198,731	(6,167)
13.0 Unemployment Compensation	181	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>684,226</b>	<b>731,518</b>	<b>712,253</b>	<b>(19,265)</b>

The FY 2013 Salaries and Benefits request includes a pay COLA adjustment of \$2,743,000 as well as a decrease of \$22,008,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$2,738	\$2,441	\$2,387	-\$54

Travel includes all costs associated with the lease/purchase, maintenance and fuel requirements for vehicles. The FY 2013 request includes a program decrease of \$54,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$259	\$281	\$267	-\$14

Transportation of things includes all costs associated with the care of items in the process of being transported, as well as other services associated with the transportation of things. The FAMS uses this object class series for central billing and for the shipment of goods between Headquarters and Field Offices. The FY 2013 request includes a program decrease of \$14,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$2,674	\$3,656	\$3,388	-\$268

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request includes a program decrease of \$268,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$16,455	\$15,626	\$14,148	-\$1,478

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The majority of the FAMS' commercial office leases for Headquarters and field offices are included in this category. The FY 2013 request includes a program decrease of \$1,478,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$12,163	\$15,303	\$13,917	-\$1,386

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FAMS uses this object class series for PDA and cell phone air time and general office utilities such as metered gas, electricity, water usage, etc. The FY 2013 request includes a program decrease of \$1,386,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$20,386	\$14,192	\$13,046	-\$1,146

Advisory and assistance services primarily include services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, State and local governments, tribes, etc.). The FY 2013 request includes a program decrease of \$1,146,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$14,714	\$24,291	\$25,513	\$1,222

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25.1. The FAMS uses this series for additional support for the Mission Scheduling and Notification System, support services for other elements (including contractors supporting contracting/procurement efforts) within the Service. The FY 2013 request includes an increase of \$1,222,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$18,517	\$11,655	\$9,662	-\$1,993

Purchases from Government Accounts include costs for purchases from other Federal agencies or accounts that are not otherwise classified. For the FAMS, this includes IT Support for the entire FAMS, facility maintenance support from the FAA, office equipment maintenance and security clearances. The FY 2013 request includes a program decrease of \$1,993,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$12,875	\$3,208	\$2,964	-\$244

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with either the private sector or another Federal Government account. The FAMS uses this object class series for custodial services and facility build out/enhancements of current leases. The FY 2013 request includes a program decrease of \$244,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.6 Medical care	0	\$1,909	\$1,861	-\$48

The FY 2013 request includes a program decrease of \$48,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$2,942	\$5,838	\$5,200	-\$638

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal account. The FY 2013 request includes a program decrease of \$638,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$3,510	\$2,931	\$2,755	-\$176

Supplies and materials are defined as commodities that are: (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property. The FAMS uses this series for IT supplies and materials, office supplies and fuel. The FY 2013 request includes a program decrease of \$176,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$9,207	\$9,640	\$8,267	-\$1,373

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Included in this total are costs for IT equipment and software, furniture and other office equipment. The FY 2013 request includes a program decrease of \$1,373,000.



**Department of Homeland Security  
Transportation Security Administration  
Federal Air Marshals:  
Travel and Training  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	110,745	116,097	107,500	(8,597)
23.2 Other rent	1,131	1,150	1,150	-
24.0 Printing	1	-	-	-
25.2 Other services	5,249	2,438	1,391	(1,047)
25.3 Purchases from Gov't accts.	3,372	1,295	1,295	-
25.6 Medical care	9	-	-	-
26.0 Supplies and materials	2,761	2,635	2,635	-
31.0 Equipment	1,738	-	-	-
<b>Total, Other Object Classes</b>	<b>125,006</b>	<b>123,615</b>	<b>113,971</b>	<b>(9,644)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>125,006</b>	<b>123,615</b>	<b>113,971</b>	<b>(9,644)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Travel and Training Mission Statement**

The Travel and Training (T&T) PPA is used to cover all travel and training requirements that support the FAMS program. The travel portion of the PPA supports the FAMS' requirements for mission travel (per diem and lodging) and associated costs, such as airport parking and automated travel account services. Mission travel resources are essential to the Federal Air Marshals' ability to perform scheduled flight coverage on both domestic and international operations and provide the FAMS the necessary mobility and flexibility to perform their enforcement and counterterrorism missions. T&T funds also support other FAMS travel required for non-mission and training purposes.

T&T also supports the FAMS' comprehensive training requirements to include TP I (Basic Law Enforcement Training) and TP II (FAMS specific training) for new Federal Air Marshals and all recurrent field training. This PPA provides funding for all associated training requirements, such as Federal Law Enforcement Training Center (FLETC) costs, training-related ammunition, TP II instructor contracts, hotel lodging contracts for Atlantic City classes, training supplies, firing range fees, professional and training gear, equipment and clothing. The T&T PPA also supports the required professional training for other professional development and career training as required.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$110,745	\$116,097	\$107,500	-\$8,597

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The bulk of these costs directly support Federal Air Marshal domestic and international mission travel, which is the primary mission of the Service. Also included in this object class are travel costs related to training, conference attendance, and site visits. The FY 2013 request includes a program decrease of \$8,597,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$5,249	\$2,438	\$1,391	-\$1,047

Other services include contractual services with non-Federal and Federal sources that are not otherwise classified under Object Class 25. The FAMS uses this object class series for FLETC training costs, hotel lodging contracts for TP II training and field recurring range fees for Federal Air Marshals' quarterly requalification. The FY 2013 request reflects a program decrease of \$1,047,000.

## **I. Changes In Full Time Employment**

**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Management and Administration	\$742	\$835	\$835	\$0
<b>Total Working Capital Fund</b>	<b>\$742</b>	<b>\$835</b>	<b>\$835</b>	<b>\$0</b>

**K. DHS Balanced Workforce Strategy**

**N/A**

**i. Summary of FY 2013 Budget Estimates by Appropriation**

**Department of Homeland Security**  
**U.S. Coast Guard**  
 Summary of FY 2013 Budget Estimates by Appropriation  
 Total Appropriations  
 (Dollars in Thousands)

Budget Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-Base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Operating Expenses	48,071	6,907,458	49,255	6,755,254	48,784	6,791,178	(471)	35,924	---	24,500	(471)	11,424
Environmental Compliance and Restoration	25	12,593	24	13,500	24	13,162	---	(338)	---	---	---	(338)
Reserve Training	504	132,849	536	134,278	535	132,554	(1)	(1,724)	---	---	(1)	(1,724)
Acquisition, Construction and Improvements	826	2,101,580	785	1,463,968	842	1,192,309	57	(271,659)	57	(271,659)	---	---
Alteration of Bridges	---	---	---	---	---	---	---	---	---	---	---	---
Research, Development, Test and Evaluation	92	20,536	101	27,779	101	19,728	---	(8,051)	---	---	---	(8,051)
Medicare-Eligible Retiree Health Care Fund Contribution	---	265,321	---	261,871	---	169,977	---	(91,894)	---	---	---	(91,894)
<b>Subtotal Discretionary</b>	<b>49,518</b>	<b>9,440,337</b>	<b>50,701</b>	<b>8,656,650</b>	<b>50,286</b>	<b>8,318,908</b>	<b>(415)</b>	<b>(337,742)</b>	<b>57</b>	<b>(247,159)</b>	<b>(472)</b>	<b>(90,583)</b>
Retired Pay	---	1,320,689	---	1,440,157	---	1,430,942	---	(9,215)	---	---	---	(9,215)
Boat Safety	9	134,433	10	113,199	10	116,221	---	3,022	---	3,017	---	5
Maritime Oil Spill Program	---	259,465	---	101,000	---	100,500	---	(500)	---	---	---	(500)
Gift Fund	---	1,535	---	80	---	80	---	---	---	---	---	---
<b>Subtotal Mandatory</b>	<b>9</b>	<b>1,716,122</b>	<b>10</b>	<b>1,654,436</b>	<b>10</b>	<b>1,647,743</b>	<b>0</b>	<b>(6,693)</b>	---	<b>3,017</b>	---	<b>(9,710)</b>
OSLTF Contribution		[45,000]	---	[45,000]	---	[45,000]	---	---	---	---	---	---
Transfer from National Science Foundation (NSF) (P.L. 111-117)	[274]	[42,330]	---	---	---	---	---	---	---	---	---	---
Haitian Disaster Relief Act (P.L. 111-212)	---	[48,354]	---	---	---	---	---	---	---	---	---	---
Overseas Contingency Operations (OCO) Funding (P.L. 112-10)	[872]	[254,000]	---	---	---	---	---	---	---	---	---	---
Overseas Contingency Operations (OCO) Funding (P.L. 112-74)	---	---	872	258,000	---	---	---	---	---	---	---	---
Proposed DoD Transfer for Overseas Contingency Operations	---	---	---	---	[872]	[254,461]	---	---	---	---	---	---
Rescission of unobligated balances pursuant to (P.L. 112-10)	---	[-10,122]	---	---	---	---	---	---	---	---	---	---
Government-wide rescission pursuant to (P.L. 112-10)	---	[-16,689]	---	---	---	---	---	---	---	---	---	---
Rescission of unobligated balances pursuant (P.L. 112-74)	---	---	---	[-43,688]	---	---	---	---	---	---	---	---
DOD transfer pursuant to (P.L. 112-74)	---	---	---	[63,500]	---	---	---	---	---	---	---	---
Proposed cancellation of funds for NSC #4 post-delivery activities	---	---	---	---	---	[-25,000]	---	---	---	---	---	---
<b>Enacted Appropriations and Budget Estimates (Discretionary, Mandatory and Rescissions)</b>	<b>49,527</b>	<b>11,156,459</b>	<b>51,583</b>	<b>10,569,086</b>	<b>50,296</b>	<b>9,966,651</b>	<b>(415)</b>	<b>(344,435)</b>	<b>57</b>	<b>(244,142)</b>	<b>(472)</b>	<b>(100,293)</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**U.S. Coast Guard**  
 Homeland and Non-Homeland Allocation by Missions  
 (Dollars in Thousands)

Budget Activity	FY 2011 Actual Obligations						FY 2012 Enacted Budget Authority						FY 2013 Requested Budget Authority					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Operating Expenses</b>	<b>17,229</b>	<b>2,463,589</b>	<b>30,842</b>	<b>\$4,443,869</b>	<b>48,071</b>	<b>\$6,907,458</b>	<b>16,712</b>	<b>2,292,060</b>	<b>32,543</b>	<b>\$4,463,194</b>	<b>50,127</b>	<b>6,755,254</b>	<b>16,989</b>	<b>2,365,000</b>	<b>31,795</b>	<b>\$4,426,178</b>	<b>48,784</b>	<b>\$6,791,178</b>
- Search and Rescue	---	---	5,556	745,993	5,556	745,993	---	---	5,896	808,604	5,896	808,966	---	---	5,762	802,160	5,762	802,160
- Marine Safety	---	---	4,388	593,962	4,388	593,962	---	---	4,147	568,791	4,147	568,791	---	---	4,115	572,810	4,115	572,810
- Aids to Navigation	---	---	8,167	1,287,463	8,167	1,287,463	---	---	10,299	1,412,524	10,299	1,412,524	---	---	10,044	1,398,256	10,044	1,398,256
- Ice Operations	---	---	812	151,060	812	151,060	---	---	709	97,276	709	97,276	---	---	703	97,868	703	97,868
- Marine Environmental Protection	---	---	1,234	165,585	1,234	165,585	---	---	1,207	165,503	1,207	165,503	---	---	1,070	148,984	1,070	148,984
- Living Marine Resources	---	---	4,461	642,880	4,461	642,880	---	---	4,577	627,563	4,577	627,563	---	---	4,474	622,798	4,474	622,798
- Drug Interdiction	---	---	5,519	739,622	5,519	739,622	---	---	5,132	703,897	5,132	703,897	---	---	5,067	705,361	5,067	705,361
- Other-Law Enforcement (Foreign Fish)	---	---	705	117,304	705	117,304	---	---	576	79,036	576	79,036	---	---	560	77,941	560	77,941
- Migrant Interdiction	3,450	469,136	---	---	3,450	469,136	3,192	437,740	---	---	3,192	437,740	3,261	454,000	---	---	3,261	454,000
- Ports, Waterways and Coastal Security	10,708	1,407,502	---	---	10,708	1,407,502	11,097	1,521,958	---	---	11,097	1,521,958	11,221	1,562,000	---	---	11,221	1,562,000
- Defense Readiness	3,071	586,951	---	---	3,071	586,951	2,423	332,000	---	---	2,423	332,000	2,507	349,000	---	---	2,507	349,000
<b>Environmental Compliance and Restoration</b>	---	---	<b>25</b>	<b>\$12,593</b>	<b>25</b>	<b>\$12,593</b>	---	---	<b>24</b>	<b>\$13,500</b>	<b>24</b>	<b>\$13,500</b>	---	---	<b>24</b>	<b>\$13,162</b>	<b>24</b>	<b>\$13,162</b>
- Marine Environmental Protection	---	---	25	12,593	25	12,593	---	---	24	13,500	24	13,500	---	---	24	13,162	24	13,162
<b>Reserve Training</b>	<b>180</b>	<b>47,382</b>	<b>324</b>	<b>\$85,467</b>	<b>504</b>	<b>\$132,849</b>	<b>192</b>	<b>48,158</b>	<b>344</b>	<b>\$86,120</b>	<b>536</b>	<b>\$134,278</b>	<b>191</b>	<b>46,900</b>	<b>344</b>	<b>\$85,654</b>	<b>535</b>	<b>\$132,554</b>
- Search and Rescue	---	---	58	14,347	58	14,347	---	---	61	15,211	61	15,211	---	---	60	15,037	60	15,037
- Marine Safety	---	---	46	11,423	46	11,423	---	---	43	10,678	43	10,678	---	---	42	10,379	42	10,379
- Aids to Navigation	---	---	86	24,761	86	24,761	---	---	106	26,566	106	26,566	---	---	105	26,050	105	26,050
- Ice Operations	---	---	9	2,905	9	2,905	---	---	7	1,821	7	1,821	---	---	8	1,949	8	1,949
- Marine Environmental Protection	---	---	13	3,184	13	3,184	---	---	14	3,610	14	3,610	---	---	14	3,542	14	3,542
- Living Marine Resources	---	---	47	12,364	47	12,364	---	---	47	11,799	47	11,799	---	---	48	11,890	48	11,890
- Drug Interdiction	---	---	58	14,225	58	14,225	---	---	59	14,778	59	14,778	---	---	61	15,058	61	15,058
- Other-Law Enforcement (Foreign Fish)	---	---	7	2,258	7	2,258	---	---	7	1,657	7	1,657	---	---	6	1,749	6	1,749
- Migrant Interdiction	36	9,023	---	---	36	9,023	36	9,191	---	---	36	9,191	37	9,010	---	---	37	9,010
- Ports, Waterways and Coastal Security	112	27,070	---	---	112	27,070	128	31,956	---	---	128	31,956	126	30,960	---	---	126	30,960
- Defense Readiness	32	11,289	---	---	32	11,289	28	7,011	---	---	28	7,011	28	6,930	---	---	28	6,930
<b>Acquisition, Construction and Improvements</b>	<b>273</b>	<b>696,375</b>	<b>553</b>	<b>\$1,405,205</b>	<b>826</b>	<b>\$2,101,580</b>	<b>332</b>	<b>617,941</b>	<b>453</b>	<b>\$846,027</b>	<b>785</b>	<b>1,463,968</b>	<b>248</b>	<b>351,680</b>	<b>594</b>	<b>\$840,629</b>	<b>842</b>	<b>\$1,192,309</b>
- Search and Rescue	---	---	66	168,685	66	168,685	---	---	105	197,758	105	197,758	---	---	57	80,231	57	80,231
- Marine Safety	---	---	12	30,350	12	30,350	---	---	27	50,793	27	50,793	---	---	10	13,539	10	13,539
- Aids to Navigation	---	---	16	38,042	16	38,042	---	---	48	89,326	48	89,326	---	---	14	19,958	14	19,958
- Ice Operations	---	---	1	2,275	1	2,275	---	---	5	10,189	5	10,189	---	---	8	11,755	8	11,755
- Marine Environmental Protection	---	---	5	12,277	5	12,277	---	---	12	22,063	12	22,063	---	---	6	9,146	6	9,146
- Living Marine Resources	---	---	158	401,580	158	401,580	---	---	104	193,789	104	193,789	---	---	170	241,421	170	241,421
- Drug Interdiction	---	---	255	651,814	255	651,814	---	---	137	254,564	137	254,564	---	---	284	401,920	284	401,920
- Other-Law Enforcement (Foreign Fish)	---	---	40	100,182	40	100,182	---	---	15	27,545	15	27,545	---	---	45	62,659	45	62,659
- Migrant Interdiction	123	314,070	---	---	123	314,070	144	267,418	---	---	144	267,418	103	146,210	---	---	103	146,210
- Ports, Waterways and Coastal Security	73	185,281	---	---	73	185,281	160	297,825	---	---	160	297,825	67	94,600	---	---	67	94,600
- Defense Readiness	77	197,024	---	---	77	197,024	28	52,698	---	---	28	52,698	78	110,870	---	---	78	110,870

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**U.S. Coast Guard**  
 Homeland and Non-Homeland Allocation by Missions  
 (Dollars in Thousands)

Budget Activity	FY 2011 Actual Obligations						FY 2012 Enacted Budget Authority						FY 2013 Requested Budget Authority					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Alteration of Bridges</b>	---	---	---	\$0	---	\$0	---	---	---	\$0	---	\$0	---	---	---	\$0	---	\$0
- Aids to Navigation	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---
<b>Research, Development, Test and Evaluation</b>	<b>14</b>	<b>2,230</b>	<b>78</b>	<b>\$18,306</b>	<b>92</b>	<b>\$20,536</b>	<b>23</b>	<b>6,303</b>	<b>78</b>	<b>\$21,476</b>	<b>101</b>	<b>\$27,779</b>	<b>24</b>	<b>4,710</b>	<b>77</b>	<b>\$15,018</b>	<b>101</b>	<b>\$19,728</b>
- Search and Rescue	---	---	8	1,424	8	1,424	---	---	21	5,876	21	5,876	---	---	22	4,346	22	4,346
- Marine Safety	---	---	23	4,176	23	4,176	---	---	9	2,468	9	2,468	---	---	3	497	3	497
- Aids to Navigation	---	---	1	165	1	165	---	---	5	1,457	5	1,457	---	---	5	902	5	902
- Ice Operations	---	---	1	125	1	125	---	---	2	472	2	472	---	---	1	262	1	262
- Marine Environmental Protection	---	---	30	8,466	30	8,466	---	---	18	4,820	18	4,820	---	---	25	4,891	25	4,891
- Living Marine Resources	---	---	5	1,171	5	1,171	---	---	6	1,837	6	1,837	---	---	7	1,280	7	1,280
- Drug Interdiction	---	---	9	2,395	9	2,395	---	---	15	4,050	15	4,050	---	---	13	2,559	13	2,559
- Other-Law Enforcement (Foreign Fish)	---	---	1	384	1	384	---	---	2	496	2	496	---	---	1	281	1	281
- Migrant Interdiction	5	902	---	---	5	902	7	1,854	---	---	7	1,854	6	1,230	---	---	6	1,230
- Ports, Waterways and Coastal Security	6	1,008	---	---	6	1,008	12	3,444	---	---	12	3,444	14	2,790	---	---	14	2,790
- Defense Readiness	3	320	---	---	3	320	4	1,005	---	---	4	1,005	4	690	---	---	4	690
<b>Health Care Fund Contribution</b>	---	<b>88,854</b>	---	<b>\$176,467</b>	---	<b>\$265,321</b>	---	<b>93,918</b>	---	<b>\$167,953</b>	---	<b>\$261,871</b>	---	<b>72,140</b>	---	<b>\$97,837</b>	---	<b>\$169,977</b>
- Search and Rescue	---	---	---	29,986	---	29,986	---	---	---	29,664	---	29,664	---	---	---	19,071	---	19,071
- Marine Safety	---	---	---	23,876	---	23,876	---	---	---	20,825	---	20,825	---	---	---	13,309	---	13,309
- Aids to Navigation	---	---	---	51,750	---	51,750	---	---	---	51,809	---	51,809	---	---	---	29,339	---	29,339
- Ice Operations	---	---	---	3,914	---	3,914	---	---	---	3,552	---	3,552	---	---	---	2,499	---	2,499
- Marine Environmental Protection	---	---	---	6,657	---	6,657	---	---	---	7,041	---	7,041	---	---	---	4,538	---	4,538
- Living Marine Resources	---	---	---	25,841	---	25,841	---	---	---	23,010	---	23,010	---	---	---	7,527	---	7,527
- Drug Interdiction	---	---	---	29,730	---	29,730	---	---	---	28,821	---	28,821	---	---	---	19,309	---	19,309
- Other-Law Enforcement (Foreign Fish)	---	---	---	4,713	---	4,713	---	---	---	3,231	---	3,231	---	---	---	2,245	---	2,245
- Migrant Interdiction	---	18,857	---	---	---	18,857	---	17,924	---	---	---	17,924	---	13,859	---	---	---	13,859
- Ports, Waterways and Coastal Security	---	56,575	---	---	---	56,575	---	62,321	---	---	---	62,321	---	47,631	---	---	---	47,631
- Defense Readiness	---	13,422	---	---	---	13,422	---	13,673	---	---	---	13,673	---	10,650	---	---	---	10,650
<b>Retired Pay</b>	---	<b>439,563</b>	---	<b>\$881,126</b>	---	<b>\$1,320,689</b>	---	<b>515,749</b>	---	<b>\$924,408</b>	---	<b>1,440,157</b>	---	<b>479,771</b>	---	<b>\$951,171</b>	---	<b>\$1,430,942</b>
- Search and Rescue	---	---	---	140,009	---	140,009	---	---	---	159,886	---	159,886	---	---	---	205,827	---	205,827
- Marine Safety	---	---	---	100,727	---	100,727	---	---	---	111,123	---	111,123	---	---	---	104,661	---	104,661
- Aids to Navigation	---	---	---	213,614	---	213,614	---	---	---	235,826	---	235,826	---	---	---	271,644	---	271,644
- Ice Operations	---	---	---	24,680	---	24,680	---	---	---	27,435	---	27,435	---	---	---	21,035	---	21,035
- Marine Environmental Protection	---	---	---	28,021	---	28,021	---	---	---	35,874	---	35,874	---	---	---	38,206	---	38,206
- Living Marine Resources	---	---	---	148,558	---	148,558	---	---	---	139,004	---	139,004	---	---	---	128,355	---	128,355
- Drug Interdiction	---	---	---	194,960	---	194,960	---	---	---	191,512	---	191,512	---	---	---	162,555	---	162,555
- Other-Law Enforcement (Foreign Fish)	---	---	---	30,557	---	30,557	---	---	---	23,748	---	23,748	---	---	---	18,888	---	18,888
- Migrant Interdiction	---	112,292	---	---	---	112,292	---	120,008	---	---	---	120,008	---	106,840	---	---	---	106,840
- Ports, Waterways and Coastal Security	---	250,421	---	---	---	250,421	---	284,921	---	---	---	284,921	---	290,711	---	---	---	290,711
- Defense Readiness	---	76,850	---	---	---	76,850	---	110,820	---	---	---	110,820	---	82,220	---	---	---	82,220



ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**U.S. Coast Guard**  
 Homeland and Non-Homeland Allocation by Missions  
 (Dollars in Thousands)

Budget Activity	FY 2011 Actual Obligations						FY 2012 Enacted Budget Authority						FY 2013 Requested Budget Authority					
	Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total		Homeland		Non-Homeland		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Boat Safety</b>	---	---	9	\$134,433	9	\$134,433	---	---	10	\$113,199	10	113,199	---	---	10	\$116,221	10	\$116,221
- Marine Safety	---	---	9	134,433	9	134,433	---	---	10	113,199	10	113,199	---	---	10	116,221	10	116,221
<b>Oil Spill Recovery</b>	---	---	---	\$259,465	---	\$259,465	---	---	---	\$101,000	---	101,000	---	---	---	\$100,500	---	\$100,500
- Marine Environmental Protection	---	---	---	259,465	---	259,465	---	---	---	101,000	---	101,000	---	---	---	100,500	---	100,500
<b>Gift Fund</b>	---	514	---	\$1,021	---	\$1,535	---	29	---	\$51	---	80	---	29	---	\$51	---	\$80
- Search and Rescue	---	---	---	173	---	173	---	---	---	9	---	9	---	---	---	9	---	9
- Marine Safety	---	---	---	138	---	138	---	---	---	6	---	6	---	---	---	6	---	6
- Aids to Navigation	---	---	---	299	---	299	---	---	---	16	---	16	---	---	---	16	---	16
- Ice Operations	---	---	---	23	---	23	---	---	---	1	---	1	---	---	---	1	---	1
- Marine Environmental Protection	---	---	---	39	---	39	---	---	---	2	---	2	---	---	---	2	---	2
- Living Marine Resources	---	---	---	150	---	150	---	---	---	7	---	7	---	---	---	7	---	7
- Drug Interdiction	---	---	---	172	---	172	---	---	---	9	---	9	---	---	---	9	---	9
- Other Law Enforcement (Foreign Fish)	---	---	---	27	---	27	---	---	---	1	---	1	---	---	---	1	---	1
- Migrant Interdiction	---	109	---	---	---	109	---	6	---	---	---	6	---	6	---	---	---	6
- Ports, Waterways and Coastal Security	---	327	---	---	---	327	---	19	---	---	---	19	---	19	---	---	---	19
- Defense Readiness	---	78	---	---	---	78	---	4	---	---	---	4	---	4	---	---	---	4
<b>Total Direct Appropriations and Budget Estimates</b>	<b>17,696</b>	<b>\$3,738,507</b>	<b>31,831</b>	<b>\$7,417,952</b>	<b>49,527</b>	<b>\$11,156,459</b>	<b>17,259</b>	<b>\$3,574,158</b>	<b>33,452</b>	<b>\$6,736,928</b>	<b>50,711</b>	<b>\$10,311,086</b>	<b>17,452</b>	<b>\$3,320,230</b>	<b>32,844</b>	<b>\$6,646,421</b>	<b>50,296</b>	<b>\$9,966,651</b>
<b>Fee Accounts</b>	---	---	---	16,937	---	16,937	---	---	---	17,070	---	17,070	---	---	---	16,848	---	16,848
<b>Marine Safety Fees</b>	---	---	---	16,937	---	16,937	---	---	---	17,070	---	17,070	---	---	---	16,848	---	16,848

- Notes:  
 1) Homeland Security activities includes the following programs: Migrant Interdiction, Ports, Waterways and Coastal Security, and Defense Readiness.  
 2) Non-Homeland activities include the following programs: Search and Rescue, Marine Safety, Aids to Navigation, Ice Operations, Marine Environmental Protection, Living Marine Resources, Drug Interdiction and Other Law Enforcement.  
 3) Funds account for all scorekeeping adjustments.  
 4) For comparability purposes, FY 2012 and FY 2013 Operating Expenses excludes funding for Overseas Contingency Operations (OCO).

iii. Status of Congressionally Requested Studies, Reports, and Evaluations

**Department of Homeland Security  
United States Coast Guard**

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2012	10/14/2011	(PL 111-83) DHS Appropriations Act, 2010	Acquisition: QARC (FY11; 4th Qtr)	Projected delivery to Congress second quarter FY 2012
2012	12/10/2011	(PL 112-10) DoD and Full-Year Continuing Appropriations Act, 2011	Sexual Harassment and Violence at CGA (2011)	Projected delivery to Congress second quarter FY 2012
2012	12/14/2011	(PL 111-83) DHS Appropriations Act, 2010	Financial Strategy Transformation: FSTAR (FY11; 2nd Half)	Projected delivery to Congress second quarter FY 2012
2012	1/13/2012	(PL 111-83) DHS Appropriations Act, 2010	Abstract of Operations: QAOP (FY12; 1st Qtr)	Projected delivery to Congress second quarter FY 2012
2012	1/23/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Depot Level Maintenance Backlog Expenditure Plan	Projected delivery to Congress second quarter FY 2012
2012	2/3/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Major Acquisition Systems Infrastructure Expenditure Plan	Projected delivery to Congress second quarter FY 2012
2012	2/3/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Marine Environmental Response Gaps and Mission Enhancement Plan	Projected delivery to Congress second quarter FY 2012
2012	2/3/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Military Housing Priority List (combined with Shore Construction, Housing, & AtoN Plan)	Projected delivery to Congress second quarter FY 2012
2012	2/3/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Shore Construction, Housing, and Aids to Navigation Plan	Projected delivery to Congress second quarter FY 2012
2012	2/3/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Updated Marine Safety Performance Plan	Projected delivery to Congress second quarter FY 2012
2012	2/15/2012	(PL 111-83) DHS Appropriations Act, 2010	Overseas Contingency Operations Distribution Plan (FY12; 1st Qtr)	Projected delivery to Congress second quarter FY 2012
2012	2/15/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Unmanned Aircraft Systems: Impact to NSC	Projected delivery to Congress second quarter FY 2012
2012	2/15/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Conveyance Plan for Coast Guard Property in Marquette, MI	Projected delivery to Congress second quarter FY 2012
2012	2/15/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Maritime Surveillance Gaps	Projected delivery to Congress second quarter FY 2012
2012	2/15/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Maritime Surveillance Hours and Assets	Projected delivery to Congress second quarter FY 2012
2012	2/17/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Coast Guard Training Center Infrastructure Improvements	Projected delivery to Congress second quarter FY 2012

2012	3/19/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Gulf of Mexico Oil Spill Response	Projected delivery to Congress second quarter FY 2012
2012	4/13/2012	(PL 111-83) DHS Appropriations Act, 2010	Abstract of Operations: QAOP (FY12; 2nd Qtr)	Projected delivery to Congress third quarter FY 2012
2012	5/12/2012	(PL 111-83) DHS Appropriations Act, 2010	Financial Strategy Transformation: FSTAR (FY12; 1st Half)	Projected delivery to Congress third quarter FY 2012
2012	5/15/2012	(PL 111-83) DHS Appropriations Act, 2010	Overseas Contingency Operations Distribution Plan (FY12; 2nd Qtr)	Projected delivery to Congress third quarter FY 2012
2012	6/23/2012	(PL 112-74) Consolidated Appropriations Act, 2012	Long Term Cutter Sustainment Program	Projected delivery to Congress third quarter FY 2012
2012	7/13/2012	(PL 111-83) DHS Appropriations Act, 2010	Abstract of Operations: QAOP (FY11; 3rd Qtr)	Projected delivery to Congress fourth quarter FY 2012
2012	8/15/2012	(PL 111-83) DHS Appropriations Act, 2010	Overseas Contingency Operations Distribution Plan (FY12; 3rd Qtr)	Projected delivery to Congress fourth quarter FY 2012

iv. Schedule of Authorized/Unauthorized Appropriations

**Department of Homeland Security  
U. S. Coast Guard  
Schedule of Authorized/Unauthorized Appropriations  
(Dollars in Thousands)**

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Appropriation	FY 2013 Requested Budget Authority
	Fiscal Year <sup>1</sup>	Amount	Amount <sup>2</sup>	Amount
Operating Expenses	FY 2011	6,970,681	6,755,254	6,791,178
Acquisition, Construction, and Improvements	FY 2011	1,640,000	1,463,968	1,192,309
Research, Development, Test, and Evaluation	FY 2011	28,034	27,779	19,728
Retired Pay	FY 2011	1,400,700	1,440,157	1,430,942
Alteration of Bridges	FY 2011	16,000	0	0
Environmental Compliance and Restoration	FY 2011	13,329	13,500	13,162
Reserve Training	FY 2011	135,675	134,278	132,554
Boat Safety	N/A	N/A	113,199	116,221
Maritime Oil Spill Program	N/A	N/A	101,000	100,500
Gift Fund	N/A	N/A	80	80
Health Care Fund Contribution	N/A	N/A	261,871	169,977
<b>Total Direct Authorization/Appropriation</b>		<b>10,204,419</b>	<b>10,311,086</b>	<b>9,966,651</b>

<sup>1</sup> The Coast Guard Authorization Act of 2010, P.L. 111-281, was signed October 15, 2010 (FY 2011).

<sup>2</sup> Funding for OE includes \$37.8M in rescissions. Funding for AC&I includes \$63.5M transfer from DoD for C-130J aircraft.

# Department of Homeland Security

*United States Coast Guard*

*Operating Expenses*

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Fiscal Year 2013

Congressional Justification



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# U. S. Coast Guard

## Operating Expenses

### I. Appropriation Overview

#### **A. Mission Statement for Operating Expenses:**

The Operating Expenses (OE) appropriation funds the Coast Guard's role as the principal Federal agency providing maritime safety, security, and stewardship to the Nation.

#### **B. Budget Activities:**

The Operating Expenses (OE) appropriation funds the annualization of prior-year funding, economic adjustments, and operating and maintenance funding for new and existing Coast Guard programs, projects and activities (PPA). The OE request supports all 11 statutory Coast Guard missions in support of the Coast Guard's six DHS FYHSP Programs.

#### **C. Budget Request Summary:**

The Coast Guard requests 48,385 positions, 48,784 FTE, and \$6.8 billion for FY 2013. Total adjustments-to-base include a net increase of \$11.4 million, and a net decrease of 471 FTE.

The Coast Guard's OE request includes \$189.3 million in new funding that includes the annualization of prior year funding and FY 2012 military pay raise; and supports the pay increase for military (1.7 percent) and civilian (0.5 percent) personnel; military allowances; and the operation, maintenance, and crewing of systems, vessels, aircraft and shore facilities delivered via the Coast Guard's acquisition programs (e.g. shore facilities, Response Boat-Medium (RB-M), Interagency Operations Centers (IOC), Rescue 21 (R21), Fast Response Cutter (FRC), and HC-144A Maritime Patrol Aircraft (MPA)).

The FY 2013 budget makes necessary trade-offs to meet today's needs and challenges, while simultaneously preparing for new and exigent demands. Through a comprehensive internal review of doctrine, policy, operations and mission support structure, the Coast Guard has focused OE resources and forces where they are most needed. The OE adjustments-to-base include decreases of \$181.6 million to focus resources toward these higher priorities, including recapitalizing aged, obsolete assets. Decreases include the termination of one-time costs; annualization of prior year management efficiencies; vessel decommissionings, disestablishment of High-Tempo-High Maintenance (HTHM) patrol boat operations; fixed wing aircraft retirements; closing seasonal Air Facilities; enterprise-wide efficiencies and programmatic reductions.

Program increases include \$24.5 million for the move of Coast Guard Headquarters to the DHS Consolidated Headquarters campus at St. Elizabeths, with the eventual goal to consolidate DHS headquarters activities to this new location.

Base adjustment increases include:

- Annualization of FY 2012 Funding – \$54.2 million
- Annualization of FY 2012 Military Pay Raise – \$8.4 million
- FY 2013 Military and Civilian Pay Increase - \$30.0 million
- DoD Parity: Adjustments To Military Allowances and Health Care – \$49.0 million
- Operating and Maintenance funds for new assets, including follow-on costs related to Shore Facilities, RB-M, IOC, R21, and Surface and Air Asset Follow-on – \$47.6 million
- Base Reallocations—[\$8.8 million]

Base adjustment decreases include:

- Termination of One-Time FY 2012 Costs – (\$18.3 million)
- Prior Year Management Annualizations – (\$11.0 million)
- Disestablish HTHM Patrol Boat Operations – (\$33.5 million)
- Decommission High Endurance Cutters and Patrol Boats – (\$18.8 million)
- Retire Fixed Wing Aircraft – (\$5.5 million)
- Close Seasonal Air Facilities – (\$5.2 million)
- Enterprise-Wide Efficiencies – (\$56.3 million)
- Programmatic Reductions – (\$32.9 million)

Program changes include:

- Coast Guard Headquarters move to the DHS consolidated headquarters at St. Elizabeths – \$24.5 million

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses**  
Summary of FY 2013 Budget Estimates by Program/Project Activity  
(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Military Pay and Allowances	41,093	\$ 3,390,827	41,729	\$ 3,386,820	41,197	\$ 3,415,595	(532)	\$ 28,775	-	\$ -	(532)	\$ 28,775
II. Civilian Pay and Benefits	6,978	\$ 723,908	7,526	\$ 780,552	7,587	\$ 790,130	61	\$ 9,578	-	\$ -	61	\$ 9,578
III. Training and Recruiting	-	\$ 217,881	-	\$ 212,732	-	\$ 212,761	-	\$ 29	-	\$ -	-	\$ 29
IV. Operating Funds and Unit Level Maintenance	-	\$ 1,250,416	-	\$ 1,108,172	-	\$ 1,092,419	-	\$ (15,753)	-	\$ 4,200	-	\$ (19,953)
V. Centrally Managed Accounts	-	\$ 342,807	-	\$ 336,161	-	\$ 350,178	-	\$ 14,017	-	\$ 20,300	-	\$ (6,283)
VI. Depot Level Maintenance	-	\$ 981,619	-	\$ 930,817	-	\$ 930,095	-	\$ (722)	-	\$ -	-	\$ (722)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>48,071</b>	<b>\$ 6,907,458</b>	<b>49,255</b>	<b>\$ 6,755,254</b>	<b>48,784</b>	<b>\$ 6,791,178</b>	<b>(471)</b>	<b>\$ 35,924</b>	<b>-</b>	<b>\$ 24,500</b>	<b>(471)</b>	<b>\$ 11,424</b>
<b>Adjustments for Other Funding Sources:</b>												
OSL/TF Contribution		[\$24,500]		[\$24,500]		[\$24,500]						
Government-wide rescission pursuant (P.L. 112-10)		[\$-13,307]										
Transfer from National Science Foundation (NSF) (P.L. 111-117)	[274]	[\$42,330]										
Haitian Disaster Relief Act of 2010 (P.L. 111-212)		[\$48,354]										
Overseas Contingency Operations (OCO) Funding (P.L. 112-10)	[872]	[\$254,000]										
Overseas Contingency Operations (OCO) Funding (P.L. 112-74)			872	\$ 258,000								
Rescission of unobligated balances pursuant (P.L. 112-74)				[\$-37,800]								
Proposed DOD OCO Transfer					[872]	[\$254,461]						
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	<b>48,071</b>	<b>\$ 6,907,458</b>	<b>50,127</b>	<b>\$ 7,013,254</b>	<b>48,784</b>	<b>\$ 6,791,178</b>	<b>(471)</b>	<b>\$ 35,924</b>	<b>-</b>	<b>\$ 24,500</b>	<b>(471)</b>	<b>\$ 11,424</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
Program Performance Justification**  
(Dollars in thousands)

PPA I: MILITARY PAY AND ALLOWANCES

	<b>Perm Pos</b>	<b>FTE<sup>1</sup></b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>41,269</b>	<b>41,093</b>	<b>3,390,827</b>
<b>2012 Enacted Budget Authority</b>	<b>41,445</b>	<b>41,729</b>	<b>3,386,820</b>
2013 Adjustments-to-Base	(1,001)	(532)	28,775
<b>2013 Current Services</b>	<b>40,444</b>	<b>41,197</b>	<b>3,415,595</b>
2013 Program Change	0	0	0
<b>2013 Requested Budget Authority</b>	<b>40,444</b>	<b>41,197</b>	<b>3,415,595</b>
Total Change 2012-2013	(1,001)	(532)	28,775

The Coast Guard requests \$3.4 billion for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Requests funding for expenses related to compensation and benefits for active duty military personnel. This category includes pay, allowances, employer’s share of the Federal Insurance Contribution Act (FICA), Social Security credits, child care benefits for Coast Guard families, and other expenses associated with compensating military personnel. Costs related to compensation are calculated by using the Coast Guard’s Standard Personnel Cost (SPC) tables. These tables are updated annually and provide a detailed calculation for each billet, broken down by rank/rate, location—in the United States (INCONUS) or out of the country (OCONUS)—which includes Alaska and Hawaii), medical costs and permanent change of station (PCS) expenses. Calculations for medical cost estimates are the same for each billet. Calculations for PCS moves and base pay are based upon rank and location of billet. Pay estimates account for OMB-published pay inflation factors for the fiscal year in question.

Dedicated Coast Guard personnel, as members of one of the Nation’s five Armed Services and the only military organization within the Department of Homeland Security, conduct the missions that protect the public, the environment, and U.S. economic interests - in the Nation’s ports and waterways, along the coast, on international waters and far offshore. The unique, multi-mission character of the Coast Guard requires personnel to safeguard lives, protect the natural environment and key resources, facilitate safe and secure maritime trade, and protect the livelihoods of citizens who depend on use of the oceans and waterways. Coast Guard forces are flexible, rapidly deployable, and able to respond to crises with a full range of authorities and

<sup>1</sup> The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

capabilities. Coast Guard forces capitalize upon their adaptable nature and multi-mission, versatile assets to prevent maritime incidents, protect the U.S. Maritime Domain, and assist in response and recovery from threats and hazards – both natural and manmade.

Active duty military personnel ensure the Service remains agile, adaptable, and ready to serve the Nation's domestic and international maritime interests across a range of dynamic operational environments. The Coast Guard was founded as a military, multi-mission, maritime service and continues to be ready, aware, and responsive across its statutory missions. As the Nation's maritime first responder, the Coast Guard must not only be effective in its daily operations, but also remain ready for emergent missions and contingencies; aware of maritime conditions and activities in order to detect, deter and defeat threats early; and, when called upon, be responsive with the right capabilities at the right time.

PPA II: CIVILIAN PAY AND BENEFITS

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>7,778</b>	<b>6,978</b>	<b>723,908</b>
<b>2012 Enacted Budget Authority</b>	<b>7,996</b>	<b>7,526</b>	<b>780,552</b>
2013 Adjustments-to-Base	(55)	61	9,578
<b>2013 Current Services</b>	<b>7,941</b>	<b>7,587</b>	<b>790,130</b>
2013 Program Change	0	0	0
<b>2013 Requested Budget Authority</b>	<b>7,941</b>	<b>7,587</b>	<b>790,130</b>
Total Change 2012-2013	(55)	61	9,578

The Coast Guard requests \$790.1 million for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Requests funding for expenses related to compensation and entitlements for Federal civilian employees. The workforce is composed of General Schedule (GS) personnel, Administrative Law Judges (AL), Senior Executive Service (SES) personnel, personnel whose salaries are Administratively Determined (AD) (e.g., Coast Guard Academy civilian faculty members), Wage Grade (WG) positions employed in industrial operations, and “Non-Ceiling” (NC) employees (e.g., cooperative education students, student aides, summer interns, and Federal junior fellows). Costs related to compensation are calculated using the Coast Guard’s Standard Personnel Cost (SPC) tables. These annually updated tables provide a detailed calculation for each billet, broken down by pay grade and location—INCONUS or OCONUS (which includes Alaska and Hawaii). Calculations for base pay are based upon position, location of position, and OMB economic assumptions for the fiscal year in question.

Civilian personnel are an integral part of the Coast Guard and vital to execution of its statutory missions. The Coast Guard continues to complement its military workforce by recruiting diverse, well-educated, and dedicated civilians needed to meet current and future demands.

PPA III: TRAINING AND RECRUITING

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>217,881</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>212,732</b>
2013 Adjustments-to-Base	...	...	29
<b>2013 Current Services</b>	...	...	<b>212,761</b>
2013 Program Change	...	...	0
<b>2013 Requested Budget Authority</b>	...	...	<b>212,761</b>
Total Change 2012-2013	...	...	29

The Coast Guard requests \$212.8 million for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The training and recruiting PPA provides funding for the Coast Guard’s professional training and education programs, as well as operation and maintenance of the seven major Coast Guard training centers and the Coast Guard Academy and Leadership Development Center.

Additionally, this request includes funding for tuition, travel, and per diem for formal training and education performed as temporary additional duty (TAD) by military service members and civilian personnel. It also ensures the training infrastructure is adequately resourced to provide Coast Guard personnel with the tools and competencies necessary for assigned missions. Specifically, this request funds additional instructors for Marine Safety training. Training is provided by the Coast Guard, commercial providers, DoD, and other agencies. This training and education are usually conducted by dedicated resident staffs in classrooms, but may also include exportable training, correspondence courses, and/or computer-based training.

From entry-level personnel through senior leadership, the Coast Guard focuses its training resources to engrain those competencies that will maximize operational proficiency.

PPA IV: OPERATING FUNDS AND UNIT LEVEL MAINTENANCE

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>1,250,416</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>1,108,172</b>
2013 Adjustments-to-Base	...	...	(19,953)
<b>2013 Current Services</b>	...	...	<b>1,088,219</b>
2013 Program Change	...	...	4,200
<b>2013 Requested Budget Authority</b>	...	...	<b>1,092,419</b>
Total Change 2012-2013	...	...	(15,753)

The Coast Guard requests \$1.1 billion for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Requests funding for units, facilities, and activities that are under the direct operational and administrative control of the Coast Guard’s Headquarters and Atlantic Area or Pacific Area Commanders. These include Bases, Base Support Units (BSUs); National Security Cutters (WMSL), High and Medium Endurance Cutters (WHECs/WMECs); Sectors; Patrol Boats; Multi-mission Boat Stations; Air Stations; Communication Stations; Deployable Specialized Forces (DSF); support commands; and Area Offices as applicable for supplies, materials, and services that allow the Coast Guard to sustain an operations tempo with an immediate response capability for Coast Guard missions. This request funds organizational-level maintenance of cutters, boats, aircraft, electronics systems, mechanical systems, and electrical equipment; procurement of supplies and materials utilized for unit “housekeeping” and administration, spare parts, liquid fuel, and energy; and other materials consumed that contribute directly to mission effectiveness.



PPA V: CENTRALLY MANAGED ACCOUNTS

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>342,807</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>336,161</b>
2013 Adjustments-to-Base	...	...	(6,283)
<b>2013 Current Services</b>	...	...	<b>329,878</b>
2013 Program Change	...	...	20,300
<b>2013 Requested Budget Authority</b>	...	...	<b>350,178</b>
Total Change 2012-2013	...	...	14,017

The Coast Guard requests \$350.2 million for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Requested funding represents centrally managed accounts that provide service to the entire Coast Guard. Significant centrally managed accounts include: the Federal Telephone System (FTS), Standard Workstation recapitalization, Coast Guard Data Network (CGOne), satellite and data communications, General Services Administration (GSA) rent, postal expenses, ammunition replenishment, and the DHS Working Capital Fund.

PPA VI: DEPOT LEVEL MAINTENANCE

	Perm Pos	FTE	Amount
<b>2011 Actual Obligations</b>	...	...	<b>981,619</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>930,817</b>
2013 Adjustments-to-Base	...	...	(722)
<b>2013 Current Services</b>	...	...	<b>930,095</b>
2013 Program Change	...	...	0
<b>2013 Requested Budget Authority</b>	...	...	<b>930,095</b>
Total Change 2012-2013	...	...	(722)

The Coast Guard requests \$930.1 million for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

This request provides service-wide funding for the Coast Guard’s depot level operating expense funded maintenance for the Service’s shore facilities, vessels, and aircraft. The Coast Guard maintains its aircraft, vessels, and shore infrastructure using a blend of organic maintenance and repair infrastructure and contracted depot level maintenance activities. A mature project planning and execution program exists within the Coast Guard to provide routine organizational-level and depot level maintenance. Where expertise or infrastructure does not exist organically within the Service, the Coast Guard uses contracted resources to provide the requisite maintenance support.

The Coast Guard’s maintenance planning process involves every level of the organization including: (1) field-level input provided in casualty, mishap, and annual engineering assessments and reports; (2) engineering/support provider input in the form of centrally managed maintenance data/trend analysis, observations of experienced technical/engineering personnel, and prioritization of issues/needs; and (3) Coast Guard Headquarters level involvement in the collation of Coast Guard-wide data/trend analysis, input from the Atlantic and Pacific Area Operational Commanders and their support providers, and development of corrective strategies.

Recognizing the need to sustain and invest resources for in-service assets, the Coast Guard has preserved the depot level maintenance portion of the current services base from reductions and offsets. This funding is vital to ongoing sustainment and support of in-service Coast Guard aircraft; Command, Control, Communications, Computers and Information Technology (C4IT) systems; shore facilities; and vessels:

**Aircraft.** Includes service-wide funding to support programmed depot level maintenance and repair of Coast Guard aircraft. This category includes: materials, services, and supplies necessary for depot level repair, maintenance, modification, and overhaul of aircraft and aircraft equipment, including associated avionics; transportation of aircraft and aeronautical materials and equipment; and procurement and overhaul of aircraft ground handling and support equipment. The request also includes funding for general expenses related to spare parts inventory and engineering design, alteration and modification services in support of Coast Guard aircraft.

This funding request also supports depot level aircraft repair. Coast Guard aircraft are continuously rotated out of operational service to allow for programmed depot maintenance (PDM) at the Aviation Logistics Center (ALC) in Elizabeth City, NC. All PDM is based upon established service standards intended to meet operational availability targets in the most cost effective means possible. The purpose of the aircraft PDM program is to (1) provide periodic inspection of areas of an aircraft which are not accessible without extensive disassembly, (2) perform heavy maintenance which is beyond the capability of operating units, and (3) incorporate configuration changes and modifications which are too extensive or infeasible to perform at the operating unit level.

**Electronics.** Includes funding for depot level maintenance and support of Coast Guard-owned electronic systems. This request includes funding required for the procurement, replacement, installation, major maintenance, and casualty response for electronic navigation, command and control (C2), and communications systems. This category also includes support for the Coast Guard's Command, Control, and Communications Engineering Center (C3CEN) and Telecommunication and Information Systems Command (TISCOM), through the Electronic Support Units and Field Support Divisions to affect system repairs and install upgraded electronics systems on all classes of Coast Guard vessels and boats, and shore facilities including Sectors and Vessel Traffic Services.

**Shore Infrastructure.** Includes service-wide funding for depot level facility maintenance to ensure the safety and integrity of the shore infrastructure, maximize facility economic life, and address facility degradation issues as early as possible to prevent large recapitalization expenses. This request includes funding for depot level maintenance repairs, code compliance, rebuilding, renovations, alterations, demolition activities and related minor improvements, as well as other services provided by the Coast Guard's Civil Engineering program. This category includes support of: Coast Guard-owned land, buildings (e.g., replacement of roofs and mechanical systems), and structures (e.g., repairs to waterfront piers/bulkheads/wharfs/ripraps, communications and navigation system towers, utility systems, emergency generators, fuel systems, roads and runways). It also includes support for fixed Aids to Navigation (AtoN) structures (ashore and afloat) and major non-consumable equipment used to support the Coast Guard's shore plant (e.g., emergency generators, fuel systems, and pressure vessels). Funding also supports depot level maintenance on the Coast Guard's Unaccompanied Personnel Housing (i.e., barracks), family housing, clinics, and morale/well-being and recreational facilities.

**Vessels.** Includes service-wide funding to support the depot level maintenance and repair of Coast Guard vessels. In particular, funding requested will support the procurement, installation, replacement and support of hull, mechanical, electrical, and electronic systems. The request also includes funding for general expenses related to inventory and engineering design, as well as alteration and modification services in support of Coast Guard vessels.

Coast Guard vessels are regularly scheduled for PDM based upon established class maintenance plans (CMP). In addition to ship repair work provided by the Coast Guard Yard in Curtis Bay, MD, the Coast Guard routinely uses ship repair facilities/contractors to complete depot level maintenance via competitive contracts. The Coast Guard manages vessel depot level maintenance funding using Standard Support Levels (SSLs) established for each vessel class of asset at the

time of asset acquisition and adjusts periodically for inflation. Actual expenditures vary from the SSL as the Coast Guard's maintenance managers allocate resources to address the most immediate fleet maintenance challenges. Each year the fleet ages, this becomes a greater challenge.

**III. Current Services Program Description by PPA**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
Program Performance Justification  
(Dollars in thousands)**

**Transfers to and from Other Accounts** **\$3,740**

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**A. Transfer**.....**\$3,740**

<b>PPA Breakdown - Transfer</b>		<b>Total (\$000)</b>
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Headquarters Directorates	3,740
		<b>3,740</b>

Transfer of follow-on funding for FY 2012 budget initiative enacted in the Consolidated Appropriations Act, 2012 (P.L. 112-74).

**Increases**

**\$189,252**

**A. Annualization of Prior Year Funding .....\$54,207**

<b>PPA Breakdown - Annualization of Prior Year Funding</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-37 FTP, 203 FTE)</b>		
	Military Pay and Allowances	14,844
	Military Health Care	2,015
<b>PPA II: Civilian Personnel (-13 FTP, 57 FTE)</b>		
	Civilian Pay and Allowances	6,751
<b>PPA III: Training and Recruiting</b>		
	Training and Education	1,079
	Recruiting and Training Centers	460
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	1,091
	Pacific Area	5,995
	1st District	72
	5th District	15
	7th District	704
	8th District	319
	9th District	17
	11th District	68
	13th District	159
	14th District	4
	17th District	8
	Headquarters Directorates	5,640
	Headquarters Units	1,098
	Other Activities	28
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	1,036
<b>PPA VI: Depot Level Maintenance</b>		
	Aircraft Maintenance	1,229
	Electronics Maintenance	(569)
	Civil/Ocean Engineering and Shore Facility Maintenance	3,129
	Vessel Maintenance	9,015
		<b>54,207</b>

Annualizes funding and 260 FTE to provide full-year resources for new initiatives and programs funded in the prior year.

In consideration of the investment and addition of 55 billets made in FY 2011 above the President's Request, this Budget supports 142 positions associated with the FY 2012 Marine Safety and Marine Environmental Response enhancements. While the blend of Marine

Environmental Response and Marine Safety personnel is different from the original proposal outlined in the FY 2012 Congressional Justification, the proposed staffing in FY 2013 is expected to improve overall performance of the Marine Environmental Response and Marine Safety missions.

<b>FY 2012 Line Items</b>	<b>FTE (Mil)</b>	<b>FTE (Civ)</b>	<b>Recurring Amount (\$000)</b>
Shore Facility Follow-On	0	0	4,925
Response Boat - Medium (RB-M) Maintenance Follow-On	0	0	676
Interagency Operations Centers (IOC) Follow-On	6	1	1,510
Rescue 21 (R21) Follow-On	0	0	2,050
Nationwide Automatic Identification System (NAIS) Follow-On	3	0	313
Surface and Air Asset Follow-On	96	26	21,500
Enhancing Marine Safety	11	17	3,498
Enhancing Marine Environmental Response	10	7	2,768
Polar Icebreaking Program	67	0	15,000
Child Care Initiative	0	6	568
Tactical Boat Crew Training	10	0	1,399
<b>Total</b>	<b>203</b>	<b>57</b>	<b>54,207</b>

**B. Mandatory Personnel Entitlements**

**1. Annualization of FY 2012 Pay Raise .....\$8,427**

<b>PPA Breakdown - Annualization of FY 2012 Military Pay Raise</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel</b>		
	Military Pay and Allowances	8,427
		<b>8,427</b>

Provides one quarter of funding to allow Coast Guard to annualize the FY 2012 military (1.6 percent) pay raise.

**2. FY 2013 Pay Increase .....\$29,989**

<b>PPA Breakdown - FY 2013 Pay Increase</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel</b>		
	Military Pay and Allowances	26,826
	Permanent Change of Station	216
<b>PPA II: Civilian Personnel</b>		
	Civilian Pay and Allowances	2,947
		<b>29,989</b>

Provides three quarters of funding for the requested FY 2013 military (1.7 percent) and civilian (0.5 percent) pay raise.

**3. Military Allowances .....\$48,991**

<b>PPA Breakdown - Military Allowances</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel</b>		
	Military Pay and Allowances (Basic Allowance for Housing)	10,268
	Military Health Care	38,723
		<b>48,991</b>

Provides funding to maintain current services and ensure parity of military pay, allowances, and health care with DoD. This request includes additional funding for Basic Allowance for Housing (BAH) changes scheduled to take effect on January 1, 2013, and increased health care costs for military members, dependants, and eligible beneficiaries. Health care costs are forecasted using actuarial projections and include funding for Coast Guard clinics, TRICARE, pharmaceuticals, use of DoD military treatment facilities and Public Health Service physicians serving at Coast Guard medical facilities.

**C. Operating and Maintenance Funds for New Assets**

**1. Shore Facility Follow-On .....\$3,870**

<b>PPA Breakdown - Shore Facility Follow-On</b>		<b>Total (\$000)</b>
<b>PPA VI: Depot Level Maintenance</b>		
	Civil/Ocean Engineering and Shore Facility Maintenance	3,870
		<b>3,870</b>

Provides funding for the incremental costs associated with operation and maintenance of new or improved shore facilities scheduled for completion prior to FY 2013. This funding is required for annual operating costs for energy, utility services, and building and grounds maintenance for the structures and facilities as described in the following table:

<b>Shore Facility Asset/Location</b>	<b>Amount (\$000)</b>
Air Station Cape Cod, MA: MPA Aircraft Hangar	1,527
Station Eatons Neck, NY: Boathouse Maintenance Facility	140
Sector Field Office Galveston, TX: Rebuilt Buildings & Waterfront Facilities	1,023
Station Houston, TX: Multi-Mission Station Facilities	975
Sector Buffalo, NY: Buildings and Supporting Infrastructure	205
<b>Total</b>	<b>3,870</b>



**2. Response Boat - Medium (RB-M) Follow-On .....\$3,058**

<b>PPA Breakdown - Response Boat - Medium (RB-M) Follow-On</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (16 FTP, 8 FTE)</b>		
	Military Pay and Allowances	578
	Military Health Care	74
	Permanent Change of Station	230
<b>PPA II: Civilian Personnel (4 FTP, 2 FTE)</b>		
	Civilian Pay and Allowances	217
<b>PPA III: Training and Recruiting</b>		
	Training and Education	40
	Recruiting and Training Centers	16
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	1st District	10
	9th District	2
	13th District	2
	17th District	2
	Headquarters Directorates	1,183
	Headquarters Units	39
	Other Activities	2
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	89
<b>PPA VI: Depot Level Maintenance</b>		
	Electronics Maintenance	354
	Civil/Ocean Engineering and Shore Facility Maintenance	140
	Vessel Maintenance	80
		<b>3,058</b>

Provides follow-on funding for the operation, maintenance and support of 30 RB-M. The resources requested herein reflect the increased cost of operating and maintaining RB-M relative to operating and maintenance costs of the boats they are replacing, including fuel costs. The increased costs of the RB-Ms are driven primarily by the capability enhancements (e.g., speed, endurance, sensors, etc.) that are required to meet current mission demands. This request also provides funding and personnel for centralized asset logistics support for all RB-M delivered through FY 2013.

**3. WatchKeeper Follow-On.....\$2,261**

<b>PPA Breakdown - WatchKeeper Follow-On</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (2 FTP, 1 FTE)</b>		
	Military Pay and Allowances	59
	Military Health Care	9
	Permanent Change of Station	24
<b>PPA II: Civilian Personnel (1 FTP, 1 FTE)</b>		
	Civilian Pay and Allowances	50
<b>PPA III: Training and Recruiting</b>		
	Training and Education	77
	Recruiting and Training Centers	154
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	11
	Headquarters Directorates	300
	Headquarters Units	1,502
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	15
<b>PPA VI: Depot Level Maintenance</b>		
	Civil/Ocean Engineering and Shore Facility Maintenance	60
		<b>2,261</b>

Provides second year follow-on funding to operate and maintain the capabilities of Watchkeeper procured under the Interagency Operations Centers (IOC) acquisition project.

The Coast Guard continues to deploy WatchKeeper to facilitate daily decision making, situational awareness, operations monitoring, and joint planning. Critical support funded by this initiative includes WatchKeeper system management and support, WatchKeeper training simulator upgrades, and capacity to support increased student training. Additionally, the three requested personnel will be assigned as Command Center School instructors and will utilize WatchKeeper as the primary training tool for practical exercises contained within the curriculum.

**4. Rescue 21 (R21) Follow-On.....\$1,448**

<b>PPA Breakdown - Rescue 21 (R21) Follow-On</b>		<b>Total (\$000)</b>
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Headquarters Directorates	19
	Headquarters Units	1,319
<b>PPA VI: Depot Level Maintenance</b>		
	Electronics Maintenance	64
	Civil/Ocean Engineering and Shore Facility Maintenance	46
		<b>1,448</b>

Provides follow-on funding to support R21, the Coast Guard's primary system that facilitates command, control, and communications in the U.S. coastal zone, and replaces the legacy National Distress Response System. R21 is a key enabler for effective emergency response in the maritime domain. Funding supports equipment Operations and Maintenance (O&M), disaster recovery system capability (backup equipment for use in the event of damage to permanently installed towers or other Rescue 21 equipment), and over-the-air re-keying capability, which improves system security.

The R21 system reached Initial Operating Capability (IOC) in December 2005. By the end of FY 2012, the prime contractor will have delivered the Rescue 21 system to 30 of 35 Coast Guard Sectors, providing approximately 41,871 miles of continuous coastline coverage along the Eastern Seaboard, Gulf Coast, West Coast, Great Lakes, Hawaii, Guam, and San Juan, Puerto Rico.

The FY 2013 request provides funding to support operation and maintenance of the R21 System in Sector Sault Ste. Marie and Sector Lake Michigan.

**5. Surface and Air Asset Follow-On.....\$37,001**

<b>PPA Breakdown - Surface and Air Asset Follow-On</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (186 FTP, 106 FTE)</b>		
	Military Pay and Allowances	7,064
	Military Health Care	1,000
	Permanent Change of Station	2,420
<b>PPA II: Civilian Personnel (38 FTP, 21 FTE)</b>		
	Civilian Pay and Allowances	2,235
<b>PPA III: Training and Recruiting</b>		
	Training and Education	4,440
	Recruiting and Training Centers	1,090
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	188
	Pacific Area	5
	1st District	2,403
	7th District	849
	8th District	105
	Headquarters Directorates	1,149
	Headquarters Units	172
	Other Activities	22
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	2,340
<b>PPA VI: Depot Level Maintenance</b>		
	Aircraft Maintenance	9,764
	Electronics Maintenance	373
	Civil/Ocean Engineering and Shore Facility Maintenance	8
	Vessel Maintenance	1,374
		<b>37,001</b>

Surface and air assets provide the Coast Guard with the foundational capability necessary to perform its statutory missions. Funding is requested to operate and maintain new assets that will transition from the acquisition program to the operations in FY 2013 or to prepare crews in advance of that transition.

**Fast Response Cutter (FRC) O&M for hulls 8 and 9 (\$3.294M):** Provides operation and maintenance funding for Key West, FL-based FRCs, hulls #8 and #9. The FRC is larger and more capable than the 110-foot patrol boat with advanced electronics and enhanced capabilities. This platform sustains the Coast Guard’s high speed, coastal capability for prosecuting immigrations laws, enforcing border security, preventing terrorism and ensuring resiliency to disasters. The FRC will also provide improved interoperability, C4ISR, common operating picture, and sensors to enhance surveillance and identification.

**Fast Response Cutter (FRC) Crews 9 and 10 (\$4.731M/67FTP/35FTE):** Provides personnel to operate and maintain Key West, FL-based FRC hulls #9 and #10. Advance arrival of the crews is critical to ensure appropriate training and readiness prior to delivery.

**FRC Follow-on Support (\$4.819M/65FTP/33FTE):** Provides personnel for shore-side support for FRCs homeported in Key West, FL. These billets will fully staff the Maintenance Augmentation Team (MAT) for the Key West homeport. In addition, FRC support personnel are provided for the Asset Program Office (APO) and Surface Forces Logistics Center (SFLC) that provide centralized support for the entire FRC fleet.

**Cutter Asset Training System (\$1.559M/11FTP/6FTE):** Provides personnel and funding necessary for Coast Guard Training System courses identified in the Master Training List for the National Security Cutter (NSC) and the Fast Response Cutter (FRC). The requested personnel and funding support training on ship-specific systems to ensure crew performance standards are achieved. These personnel and funding are required to operate and maintain training and simulation systems, develop curricula, and conduct human performance and training analysis. The resources will ensure the Coast Guard fulfills the training requirements for the crews and personnel that will operate and maintain newly acquired NSCs and FRCs.

**HC-144A Aircraft Follow-on (\$18.333M/68FTP/46FTE):** Provides funding for the operation and maintenance of Maritime Patrol Aircraft (HC-144A) #14 and #15, and funding for personnel to operate and support aircraft #15 and #16. In addition, this proposal provides funding for personnel at the HC-144A aircraft Sensor/C4ISR Operator Training Division and Coast Guard Aviation Training Center to ensure sensor doctrine, training and standardization requirements are met.

**Air Station Cape Cod Transition (\$3.515M/13FTP/7FTE):** In FY 2013, Coast Guard Air Station Cape Cod will transition from operating HU-25 aircraft to operating HC-144A aircraft, a change from a medium low-wing fanjet aircraft to a high-wing turboprop patrol and transport aircraft. This request provides personnel and funding necessary to complete a change in aircraft type allowance, and programmed utilization rates. Funding will provide additional cargo weighing and loading equipment, lavatory service vehicles, larger aircraft check-stands, propeller dollies and engine stands, and larger aircraft tow tractors.

**HC-130H Flight Simulator Training (\$.750M):** Provides follow-on funding to support aircraft simulator training for HC-130H pilots, flight engineers, and navigators. The Coast Guard's AC&I funded HC-130H conversion and sustainment project will change the configuration of these aircraft by upgrading avionics systems cockpit instruments. This flight simulation trainer will replicate the operation of the reconfigured aircraft, allowing flight crews to attain qualifications and maintain proficiency operating with the upgraded HC-130H flight systems.

**D. Base Re-Allocations (Non-Add)**

**1. Balanced Workforce Strategy Follow-On .....[\$3,485]**

<b>PPA Breakdown - Balanced Workforce Strategy Follow-on</b>		<b>Total (\$000)</b>
<b>PPA II: Civilian Personnel (33 FTP, 33 FTE)</b>		
	Civilian Pay and Allowances	3,405
<b>PPA III: Training and Recruiting</b>		
	Training and Education	25
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Headquarters Units	(3,485)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	55
		<b>0</b>

This line item accounts for the in-sourcing of 33 positions from a prior-year initiative that in-sourced the screening of security clearance applications.

**2. Military FTP and FTE Transfer to Civilian.....[\$5,331]**

<b>PPA Breakdown - Military FTP and FTE Transfer to Civilian</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-50 FTP, -50 FTE)</b>		
	Military Pay and Allowances	(4,452)
	Military Health Care	(464)
	Permanent Change of Station	(327)
<b>PPA II: Civilian Personnel (50 FTP, 50 FTE)</b>		
	Civilian Pay and Allowances	5,289
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(88)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Headquarters Directorates	42
		<b>0</b>

Transfers 50 military FTP/FTE to civilian FTP/FTE. These conversions are consistent with GAO recommendations to change military positions funded in PPA I (military Pay and Allowances) with inherently civilian job functions to civilian positions funded in PPA II (Civilian Pay and Benefits).

**3. Reclassification of Reimbursable FTE to Direct FTE .....[\$1,807]**

<b>PPA Breakdown - Reclassification of Reimbursable FTE to Direct FTE</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (1 FTP, 1 FTE)</b>		
	Military Pay and Allowances	[59]
	Military Health Care	[9]
	Permanent Change of Station	[5]
<b>PPA II: Civilian Personnel (12 FTP, 12 FTE)</b>		
	Civilian Pay and Allowances	[1,723]
<b>PPA III: Training and Recruiting</b>		
	Training and Education	[11]
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
		<b>[1,807]</b>

Reclassifies positions previously encompassed by a reimbursable agreement between the Coast Guard and Environmental Protection Agency to direct funded FTE.

**Decreases** **(\$181,568)**

**A. Termination of One Time Costs** ..... **(\$18,309)**

<b>PPA Breakdown - Termination of One-Time Costs</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel</b>		
	Permanent Change of Station	(5,347)
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(1,916)
	Recruiting and Training Centers	(58)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	(188)
	Pacific Area	(711)
	1st District	(51)
	7th District	(253)
	9th District	(53)
	11th District	(59)
	13th District	(34)
	14th District	(25)
	17th District	(34)
	Headquarters Directorates	(4,360)
	Headquarters Units	(144)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(1,110)
<b>PPA VI: Depot Level Maintenance</b>		
	Civil/Ocean Engineering and Shore Facility Maintenance	(3,966)
		<b>(18,309)</b>

This line item reflects FY 2013 savings associated with the termination of one-time costs for program start-up and exit transactions anticipated in FY 2012.

<b>FY 2012 Line Items</b>	<b>Non-Recurring Amount (\$000)</b>
Response Boat - Medium (RB-M) Maintenance Follow-On	(137)
Interagency Operations Centers (IOC) Follow-On	(328)
Nationwide Automatic Identification System (NAIS) Follow-On	(84)
Surface and Air Asset Follow-On	(5,781)
Three PC-179s	(1,324)
Decommission High Endurance Cutter (HEC)	(2,582)
Enhancing Marine Safety	(3,021)
Enhancing Marine Environmental Response	(3,193)
Child Care Initiative	(368)
Tactical Boat Crew Training	(1,491)
<b>Total</b>	<b>(18,309)</b>



**B. Prior Year Management Annualizations ..... (\$10,996)**

<b>PPA Breakdown - Prior Year Management Annualizations</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-92 FTE)</b>		
	Military Pay and Allowances	(5,377)
	Military Health Care	(859)
	Permanent Change of Station	(1,471)
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(155)
	Recruiting and Training Centers	(128)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Pacific Area	(624)
	Headquarters Directorates	(1,135)
	Other Activities	(16)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(294)
<b>PPA VI: Depot Level Maintenance</b>		
	Electronics Maintenance	(112)
	Vessel Maintenance	(825)
		<b>(10,996)</b>

This line item annualizes part-year reductions from various asset decommissionings in FY 2012.

<b>FY 2012 Line Items</b>	<b>FTE (Mil)</b>	<b>FTE (Civ)</b>	<b>Recurring Amount (\$000)</b>
Three PC-179s	0	0	(512)
Decommission High Endurance Cutter (HEC)	(92)	0	(10,484)
<b>Total</b>	<b>(92)</b>	<b>0</b>	<b>(10,996)</b>

**C. Asset Decommissionings**

**1. Patrol Boat High Tempo High Maintenance (HTHM) Operations .....(\$33,495)**

<b>PPA Breakdown - Patrol Boat High Tempo High Maintenance (HTHM) Operations</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-200 FTP, -200 FTE)</b>		
	Military Pay and Allowances	(12,383)
	Military Health Care	(1,855)
	Permanent Change of Station	1,487
<b>PPA II: Civilian Personnel (-6 FTP, -6 FTE)</b>		
	Civilian Pay and Allowances	(701)
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(391)
	Recruiting and Training Centers	(283)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	(192)
	7th District	(2,337)
	Headquarters Directorates	(3,260)
	Headquarters Units	(19)
	Other Activities	(35)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(382)
<b>PPA VI: Depot Level Maintenance</b>		
	Electronics Maintenance	(570)
	Civil/Ocean Engineering and Shore Facility Maintenance	(2)
	Vessel Maintenance	(12,572)
		<b>(33,495)</b>

Disestablishes the High Tempo High Maintenance (HTHM) program for eight in-service 110-foot patrol boats. The HTHM program was a temporary bridging strategy that approximately doubled the normal programmed resource hours for these eight assets through use of multiple crews and a unique maintenance and operating construct until new, more capable FRCs are delivered. The eight 110-foot patrol boats will return to their pre-HTHM operational tempo.

**2. Three 110-Patrol Boats.....(\$1,977)**

<b>PPA Breakdown - Three 110-Patrol Boats</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-70 FTP, -35 FTE)</b>		
	Military Pay and Allowances	(2,048)
	Military Health Care	(326)
	Permanent Change of Station	479
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(69)
	Recruiting and Training Centers	(48)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	1st District	(83)
	7th District	(146)
	Headquarters Directorates	(321)
	Headquarters Units	(33)
	Other Activities	(8)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(178)
<b>PPA VI: Depot Level Maintenance</b>		
	Electronics Maintenance	(24)
	Vessel Maintenance	828
		<b>(1,977)</b>

Decommission three 110' WPB patrol boats and associated shoreside support. These assets will be replaced with operational FRCs in the Seventh Coast Guard District. The Coast Guard will re-invest the savings from decommissioning three legacy patrol boats, crews and support personnel to support the operation and maintenance of the more capable FRCs. With eight FRCs scheduled for delivery through 2013, these decommissioning actions will begin the transition of the in-service WPB fleet to the new FRC fleet. The temporary loss of patrol boat hours will be mitigated as new, more capable FRCs are delivered.

**3. Two High Endurance Cutters (HEC) .....(\$16,832)**

<b>PPA Breakdown - Two High Endurance Cutters (HEC)</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-389 FTP, -241 FTE)</b>		
	Military Pay and Allowances	(13,639)
	Military Health Care	(2,224)
	Permanent Change of Station	2,877
<b>PPA II: Civilian Personnel</b>		
	Civilian Pay and Allowances	1,723
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(461)
	Recruiting and Training Centers	(351)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	(638)
	Pacific Area	(983)
	7th District	(3)
	11th District	(4)
	Headquarters Directorates	(1,995)
	Headquarters Units	356
	Other Activities	(50)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(697)
<b>PPA VI: Depot Level Maintenance</b>		
	Electronics Maintenance	1,320
	Vessel Maintenance	(2,063)
		<b>(16,832)</b>

Decommissions two High Endurance Cutters (HEC) and associated shore-side support in FY 2013 (fourth and fifth HEC of the original 12 HEC fleet). With the average cutter age at 43 years, the HEC fleet has become increasingly difficult to maintain and sustain operationally. The fourth NSC is under production and scheduled for delivery in fourth quarter of FY 2014, and the fifth NSC is under contract and scheduled for delivery in FY 2016. The temporary loss of major cutter hours will be mitigated as new, more capable NSCs are delivered.

Decommissions two High Endurance Cutters (HEC) and associated shore-side support in FY 2013 (fourth and fifth HEC of the original 12 HEC fleet). With the average cutter age at 43 years, the HEC fleet has become increasingly difficult to maintain and sustain operationally. The fourth NSC is under production and scheduled for delivery in fourth quarter of FY 2014, and the fifth NSC is under contract and scheduled for delivery in FY 2016. The temporary loss of major cutter hours will be mitigated as new, more capable NSCs are delivered.

**4. Three HU-25 Aircraft.....(\$5,514)**

<b>PPA Breakdown - Three HU-25 Aircraft</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-39 FTP, -20 FTE)</b>		
	Military Pay and Allowances	(1,501)
	Military Health Care	(181)
	Permanent Change of Station	349
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(308)
	Recruiting and Training Centers	(25)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	1st District	(1,545)
	Other Activities	(4)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(66)
<b>PPA VI: Depot Level Maintenance</b>		
	Aircraft Maintenance	(2,233)
		<b>(5,514)</b>

Retires the three remaining HU-25 aircraft assigned to Coast Guard Air Station (CGAS) Cape Cod to allow for complete transition to the new HC-144A aircraft. The Coast Guard retired the first of four HU-25s assigned to CGAS Cape Cod in FY 2011. In FY 2013, the Coast Guard will deliver and place in full-operational status three HC-144A aircraft at CGAS Cape Cod. These three aircraft will provide more flight hours per year than the four retired HU-25s provided annually. Delivery of a fourth HC-144A aircraft at CGAS Cape Cod is planned in FY 2015.

Following retirement of these three HU-25 aircraft assigned to CGAS Cape Cod, the Coast Guard will have three remaining HU-25s in-service and assigned to Air Station Corpus Christi, TX, that are planned to be retired by FY 2015.

**5. Seasonal Air Facilities .....(\$5,201)**

<b>PPA Breakdown - Seasonal Air Facilities</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-68 FTP, -34 FTE)</b>		
	Military Pay and Allowances	(2,384)
	Military Health Care	(709)
	Permanent Change of Station	831
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(265)
	Recruiting and Training Centers	(44)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	5th District	(47)
	9th District	(683)
	Headquarters Directorates	(572)
	Other Activities	(7)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(86)
<b>PPA VI: Depot Level Maintenance</b>		
	Aircraft Maintenance	(1,235)
		<b>(5,201)</b>

Provides for more efficient mission execution by transitioning operating aircraft at Air Station Traverse City, MI from five H-65 to three H-60 rotary wing aircraft, in conjunction with closing two seasonal Air Facilities (AIRFACS) in Muskegon, MI and Waukegan, WI. The H-60 aircraft provide increased operational capability in the Great Lakes region over the currently assigned H-65 aircraft. The H-60 helicopter has nearly double the flight time endurance of the H-65, thereby enabling additional operational range for all missions in the Great Lakes region. Additionally, the H-60 has superior operating capabilities in cold-weather over H-65s. Specifically, the H-60 helicopter has the ability to fly in icing conditions, an atmospheric condition present in the Traverse City Area of Responsibility for up to five months of the year.

Two H-60 helicopters, which currently support Operation Bahamas Turks and Caicos (OPBAT), will be reallocated from Air Station Clearwater, FL. One H-60, which currently supports the Maritime Security Response Team, will be reallocated from Air Station Elizabeth City, NC.

In addition to current-year savings, this proposal will achieve nearly \$37 million in cost avoidance by enabling the Coast Guard to re-purpose two H-65 aircraft from Air Station Traverse City; replacing aircraft lost during operational mishaps and precluding the need to procure new aircraft. Of the remaining three H-65 aircraft removed from Air Station Traverse City, two will be used as maintenance/operational spares, and one will be sent to long-term storage.

**D. Enterprise-Wide Efficiencies .....(\$56,299)**

<b>PPA Breakdown - Enterprise-Wide Efficiencies</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-18 FTP, -9 FTE)</b>		
	Military Pay and Allowances	(634)
	Military Health Care	(540)
	Permanent Change of Station	(13,773)
<b>PPA II: Civilian Personnel (-30 FTP, -15 FTE)</b>		
	Civilian Pay and Allowances	(3,436)
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(213)
	Recruiting and Training Centers	(1,592)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	(325)
	Pacific Area	(162)
	1st District	(199)
	5th District	(96)
	7th District	(199)
	8th District	(314)
	9th District	(158)
	11th District	(42)
	13th District	(165)
	14th District	(101)
	17th District	(23)
	Headquarters Directorates	(18,904)
	Headquarters Units	(1,714)
	Other Activities	(2)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(6,414)
<b>PPA VI: Depot Level Maintenance</b>		
	Aircraft Maintenance	(369)
	Electronics Maintenance	(4,803)
	Civil/Ocean Engineering and Shore Facility Maintenance	(1,911)
	Vessel Maintenance	(210)
		<b>(56,299)</b>

<b>Enterprise-Wide Efficiencies</b>	<b>FTP</b>	<b>FTE</b>	<b>Amount (\$000)</b>
Directed Purchasing/Professional Services	0	0	(15,883)
Logistics Functions	(48)	(24)	(1,881)
Strategic Sourcing	0	0	(4,164)
Civilian Overtime	0	0	(2,384)
PCS Transfers	0	0	(13,921)
Non-Operational Travel	0	0	(9,662)
Vehicle Fleet	0	0	(1,604)
Information Technology (IT)	0	0	(6,800)
<b>Total</b>	<b>(48)</b>	<b>(24)</b>	<b>(56,299)</b>

In FY 2013, the Coast Guard will drive efficiencies in targeted areas to sustain front-line operations, perform critical depot level maintenance activities on assets, continue fleet recapitalization, and fund higher priority Service requirements. Specifically, the Coast Guard will implement efficiencies in the following areas:

Directed Purchasing/Professional Services: Reduces the use of service contracts for enterprise-wide mission support and operational support activities. The Coast Guard will target the lowest priority activities to implement this reduction. Among the activities targeted for savings is development of external publications and documents.

Logistics Functions: Consolidates and centralizes administrative, personnel support, supply and logistics functions at Base Support Units throughout the Coast Guard for co-located, but organizationally distinct units and activities. The consolidation of these logistics functions enables similar functions (i.e. human resources and personnel record management, inventory and supply, facility operation and management, health care administration, shipping/receiving) to be performed by fewer personnel at locations where Coast Guard personnel and activities are collocated.

Strategic Sourcing: Optimizes the purchase of supplies and materials through more efficient use of supply chain operations, including centralized buying, bulk purchasing, and leveraging reduced pricing schedules from suppliers.

Civilian Overtime: Reduces civilian overtime across the entire Coast Guard for activities that are not directly related to the execution of front-line operations.

PCS Transfers: Reduces the number of Permanent Change of Station (PCS) moves through the implementation of new reassignment processes for military members. This initiative will increase tour-lengths for certain positions, and maximize, to the extent possible, consecutive assignments within the same geographic area to minimize transfer costs. The Coast Guard will carefully manage personnel transfers to prevent limits on a military member's ability to gain geographically diverse experiences or professional growth opportunities across a member's career.



Non-Operational Travel: Reduces non-operational travel related to professional development, off-site meetings, conferences, attending industry sponsored activities, external engagements, unit/site visits, and international engagements.

Vehicle Fleet: Extends the minimum replacement cycle of Coast Guard owned vehicles to at least eight years. This initiative will also reduce the number of GSA leased vehicles in the Coast Guard's vehicle fleet, and leverage smaller, less expensive vehicles where feasible to minimize costs. This initiative also garners savings by extending the in-service life of certain Coast Guard owned vehicles, including fire trucks and base/facility maintenance vehicles.

Information Technology (IT): Reduces support levels for the operation and maintenance of enterprise IT systems, including command, control, communications, and computers systems; and infrastructure. The Coast Guard will implement these reductions in a manner that mitigates impacts to system and network performance for Coast Guard assets.

**E. Programmatic Reductions.....(\$32,945)**

<b>PPA Breakdown - Programmatic Reductions</b>		<b>Total (\$000)</b>
<b>PPA I: Military Personnel (-335 FTP, -170 FTE)</b>		
	Military Pay and Allowances	(21,235)
	Military Health Care	(1,553)
	Permanent Change of Station	3,257
<b>PPA II: Civilian Personnel (-144 FTP, -94 FTE)</b>		
	Civilian Pay and Allowances	(8,902)
<b>PPA III: Training and Recruiting</b>		
	Training and Education	(569)
	Recruiting and Training Centers	(388)
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Atlantic Area	(35)
	Pacific Area	(9)
	1st District	(12)
	5th District	(32)
	7th District	(34)
	8th District	(30)
	9th District	(36)
	11th District	(62)
	13th District	(14)
	17th District	(56)
	Headquarters Directorates	(1,603)
	Headquarters Units	(107)
	Other Activities	(22)
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	(591)
<b>PPA VI: Depot Level Maintenance</b>		
	Aircraft Maintenance	(912)
		<b>(32,945)</b>

<b>Programmatic Reductions</b>	<b>FTP</b>	<b>FTE</b>	<b>Amount (\$000)</b>
Headquarters Staffing	(222)	(131)	(12,681)
Organizational Performance Consultants	(25)	(13)	(2,312)
Airborne Use of Force Capacity	(42)	(21)	(2,768)
Non-Reimbursable Detached Duty Positions	(36)	(20)	(1,593)
Military Recruiting	(77)	(39)	(2,802)
Selective Reenlistment Bonus	0	0	(7,000)
Mobile Training	(16)	(9)	(701)
Vintage Vessel National Center of Expertise	(4)	(2)	(278)
Coast Guard Intelligence	(57)	(29)	(2,810)
<b>Total</b>	<b>(479)</b>	<b>(264)</b>	<b>(32,945)</b>

In FY 2013, the Coast Guard will make targeted reductions in several base program areas. These base adjustments recognize changes in requirements for selected activities and redirect resources toward higher-priorities, including critical recapitalization projects and essential frontline operations.

Headquarters Staffing: Eliminates 222 positions at Coast Guard Headquarters through attrition and implementation of a civilian hiring freeze in the Washington, D.C. area; a small portion of these positions are currently vacant. This reduction to Coast Guard Headquarters preserves the Coast Guard's critical capabilities to conduct front-line operations; mission support; development and implementation of national policies and regulations; and the capacity to complete and respond to reports, audits, questions for the record, inquiries, and informal requests for information. The Coast Guard will centralize functions, eliminate, scale or shift workload at work centers, and leverage technology and IT systems to increase productivity and accomplish work more efficiently.

Organizational Performance Consultants: Reduces District capacity by 25 positions designated to provide the Coast Guard with strategic planning, professional leadership and management, and process improvement training. The Coast Guard will still maintain this core capability, centralized at the Headquarters level.

Airborne Use of Force Capacity: Reduces Airborne Use of Force (AUF) capability for Ports, Waterways, and Coastal Security (PWCS) missions at six aviation units and centralizes this high-end PWCS AUF capability on each coast. This initiative consolidates AUF PWCS capability at Elizabeth City, NC; and San Diego, CA with corresponding elimination of AUF programs at the following Air Stations: Air Station Cape Cod, MA; Air Station Clearwater, FL; Air Station Houston, TX; Air Station Kodiak, AK; Air Station Port Angeles, WA and Air Station San Francisco, CA. Based on lessons learned from use of the AUF capability to perform PWCS missions, the Coast Guard has determined from an overall risk perspective that the highest operational return on investment is to centralize this capability.

Non-Reimbursable Detached Duty Positions: Reduces 36 non-reimbursable Detached Duty-External (DDE) positions, targeting the lowest-priority of these external positions based on current mission priorities and an assessment of the most pressing needs.

Military Recruiting: Reduces the military workforce recruiting program by 77 positions based on near-term workforce accession projections. The Coast Guard will reallocate remaining recruiters across all regions throughout all traditional recruiting territories to prevent any negative impact to the Coast Guard's successful efforts to recruit a diverse workforce.

Selective Reenlistment Bonus: Reduces funding programmed for active duty military selective re-enlistment bonuses. The need for incentive pay targeting traditionally hard-to-fill specialties is projected to be limited in the near-term given the current employment outlook, reducing the need to utilize this workforce management tool in FY 2013.

Mobile Training: Eliminates 16 positions from the Mobile Training Team and reorganizes this program, which provides assistance and training to international partners in the areas of national defense, homeland security, and maritime prevention. The impact of this reduction will be partially mitigated by augmenting the Mobile Training Team remaining core personnel with Coast Guard personnel attached to other units on a temporary-duty basis to deploy and assist with training missions.

Vintage Vessel National Center of Expertise: Disestablishes the four-person Vintage Vessel National Center of Expertise (VVNCOE). The VVNCOE provides training and qualification programs for marine inspectors that perform deep draft vessel hull and machinery inspections for vintage vessels. The duties performed by these four positions will be assumed primarily by other Sector personnel within the Ninth Coast Guard District.

Coast Guard Intelligence: Eliminates 57 Intelligence-related positions, including administrative support and Coast Guard Criminal Investigative Service billets from across the Coast Guard. The Coast Guard Intelligence program has grown by 800 positions over the last 10 years. This initiative eliminates positions at Coast Guard Headquarters, Areas, Districts, and Maritime Intelligence Fusion Centers; Intelligence Coordination Center; Deployable Operations Group; Coast Guard Investigative Service; Cryptologic Group, and the El Paso Intelligence Center. This reduction seeks to minimize impacts to tactical-level operational units.

#### IV. Program Justification of Changes

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
Justification of Program Changes  
(Dollars in thousands)**

**Program Changes** **\$24,500**

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**A. DHS Headquarters Consolidation**.....**\$24,500**

<b>PPA Breakdown - DHS Headquarters Consolidation</b>		<b>Total (\$000)</b>
<b>PPA IV: Operating Funds and Unit Level Maintenance</b>		
	Headquarters Directorates	4,200
<b>PPA V: Centrally Managed Accounts</b>		
	Central Accounts	20,300
		<b>24,500</b>

**Description of Item**

Provides funding to support the Coast Guard’s relocation to the St. Elizabeths Campus in Washington, DC. The requested FY 2013 funding supports relocation of Coast Guard equipment, employees, and work functions to the DHS consolidated headquarters at St. Elizabeths. The new Coast Guard facilities at St. Elizabeths include office space, employee shared spaces, parking, and the Department Operations Center (Phase A), which will be tied into the National Operations Center during a subsequent phase of the DHS headquarters consolidation project.

**Justification**

The Coast Guard’s move from Buzzards Point to St. Elizabeths is part of Phase 1 of the DHS headquarters consolidation project, and supports development of a “one-DHS” culture and directly enhances DHS unity of effort and organizational efficiency.

**Impact on Performance**

The Department’s overarching plan to consolidate DHS components and activities at the Saint Elizabeths campus will enhance operational effectiveness and generate synergy between DHS entities.

## V. Exhibits and Other Supporting Materials

### A. Justification of Proposed Legislative Language

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Justification of Proposed Changes in Operating Expenses**  
**Appropriation Language**

For necessary expenses for the operation and maintenance of the Coast Guard, not otherwise provided for; purchase or lease of not to exceed 25 passenger motor vehicles, which shall be for replacement only; purchase or lease of small boats for contingent and emergent requirements (at a unit cost of no more than \$700,000) and repairs and service-life replacements, not to exceed a total of \$31,000,000; purchase or lease of boats necessary for overseas deployments and activities; minor shore construction projects not exceeding \$1,000,000 in total cost [at any location] on any asset; payments pursuant to section 156 of Public Law 9709377 (42 U.S.C. 402 note; 96 Stat. 1920); and recreation and welfare; [\$7,051,054,000] \$6,791,178,000, of which [\$598,000,000] \$340,000,000 shall be for defense-related activities[, of which \$256,000,000 is designated by the Congress for Overseas Contingency Operations/Global War on Terrorism pursuant to section 251(b)(2)(A) of the Balanced Budget and Emergency Deficit Control Act of 1985]; of which \$24,500,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); and of which not to exceed \$17,000 shall be for official reception and representation expenses: *Provided*, That none of the funds made available by this Act shall be for expenses incurred for recreational vessels under section 12114 of title 46, United States Code, except to the extent fees are collected from owners of yachts and credited to this appropriation[: *Provided further*, That the Coast Guard shall comply with the requirements of section 527 of the National Defense Authorization Act for Fiscal Year 2004 (10 U.S.C. 4331 note) with respect to the Coast Guard Academy: *Provided further*, That of the funds provided under this heading, \$75,000,000 shall be withheld from obligation for Coast Guard Headquarters Directorates until a revised future-years capital investment plan for fiscal years 2013 through 2017, as specified under the heading Coast Guard "Acquisition, Construction, and Improvements" of this Act is submitted to the Committees on Appropriations of the Senate and the House of Representatives: *Provided further*, That funds made available under this heading for Overseas Contingency Operations/Global War on Terrorism may be allocated by program, project, and activity, notwithstanding section 503 of this Act].  
(*Consolidated Appropriations Act, 2012.*)

**B. FY 2012 to FY 2013 Budget**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	<b>49,047</b>	<b>48,071</b>	<b>6,907,458</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>49,441</b>	<b>49,255</b>	<b>6,755,254</b>
<b>Adjustments-to-Base</b>			
Transfers to and from Other Accounts			
A. Transfer	-	-	3,740
Total Transfers	-	-	3,740
Increases			
A. Annualization of Prior Year Funding	(50)	260	54,207
B. Mandatory Personnel Entitlements			
1. Annualization of FY 2012 Military Pay Raise	-	-	8,427
2. FY 2013 Pay Increase	-	-	29,989
3. Military Allowances	-	-	48,991
C. Operating and Maintenance Funds for New Assets			
1. Shore Facility Follow-On	-	-	3,870
2. Response Boat - Medium (RB-M) Follow-On	20	10	3,058
3. WatchKeeper Follow-On	3	2	2,261
4. Rescue 21 (R21) Follow-On	-	-	1,448
5. Surface and Air Asset Follow-On	224	127	37,001
D. Base Re-Allocations (Non-Add)			
1. Balanced Workforce Strategy Follow-on	33	33	[3,485]
2. Military FTP and FTE Transfer to Civilian	[50]	[50]	[5,331]
3. Reclassification of Reimbursable FTE to Direct FTE	13	13	[1,807]
Total Increases	243	445	189,252
Decreases			
A. Termination of One-Time Costs	-	-	(18,309)
B. Prior Year Management Annualizations	-	(92)	(10,996)
C. Asset Decommissionings			
1. Patrol Boat High Tempo High Maintenance (HTHM) Operations	(206)	(206)	(33,495)
2. Three 110-Patrol Boats	(70)	(35)	(1,977)
3. Two High Endurance Cutters (HEC)	(389)	(241)	(16,832)
4. Three HU-25 Aircraft	(39)	(20)	(5,514)
5. Seasonal Air Facilities	(68)	(34)	(5,201)
D. Enterprise-Wide Efficiencies	(48)	(24)	(56,299)
E. Programmatic Reductions	(479)	(264)	(32,945)
Total Decreases	(1,299)	(916)	(181,568)
<b>Total Adjustments-to-Base</b>	<b>(1,056)</b>	<b>(471)</b>	<b>11,424</b>
<b>FY 2013 Current Services</b>	<b>48,385</b>	<b>48,784</b>	<b>6,766,678</b>
<b>Program Changes</b>			
Program Increases			
A. DHS Headquarters Consolidation	-	-	24,500
Total Program Changes	-	-	24,500
<b>FY 2013 Requested Budget Authority</b>	<b>48,385</b>	<b>48,784</b>	<b>6,791,178</b>
<b>2012 to 2013 Total Change</b>	<b>(1,056)</b>	<b>(471)</b>	<b>35,924</b>

C. Summary of Requirements

Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses Appropriation  
Summary of Requirements  
(Dollars in Thousands)

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		2013 Adjustments-to-Base		2013 Program Changes		FY 2013 Requested Budget Authority		2012 to 2013 Total Change		FY 2013 Requested Budget Authority		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>															
<b>FY 2012 Enacted Budget Authority</b>															
Adjustments to Base (See "FY 2012 to FY 2013 Budget Change" for details)															
Transfers															
Increases															
Decreases															
Total Adjustments to Base															
<b>FY 2013 Current Services</b>															
Program Changes (See "FY 2012 to FY 2013 Budget Change" for details)															
<b>FY 2013 Requested Budget Authority</b>															
<b>2012 to 2013 Total Change</b>															
<b>Estimates by Program/Project Activity</b>															
<b>I. Military Pay and Allowances</b>															
Military Pay and Allowances (AFC-01)	41,445	41,729	2,832,422		(532)	4,413		-	40,444	41,197	2,836,835	(1,001)	(532)	4,413	
Military Health Care (AFC-57)			599,638			33,110					432,748			33,110	
Permanent Change of Station (AFC-20)			154,760			(8,748)					146,012			(8,748)	
<i>SubTotal</i>	<b>41,445</b>	<b>41,729</b>	<b>3,386,820</b>		<b>(532)</b>	<b>28,775</b>			<b>40,444</b>	<b>41,197</b>	<b>3,415,595</b>	<b>(1,001)</b>	<b>(532)</b>	<b>28,775</b>	
<b>II. Civilian Pay and Benefits</b>															
Civilian Pay and Benefits (AFC-08)	7,996	7,526	780,552		61	9,578		-	7,941	7,587	790,130	(55)	61	9,578	
<i>SubTotal</i>	<b>7,996</b>	<b>7,526</b>	<b>780,552</b>		<b>61</b>	<b>9,578</b>			<b>7,941</b>	<b>7,587</b>	<b>790,130</b>	<b>(55)</b>	<b>61</b>	<b>9,578</b>	
<b>III. Training and Recruiting</b>															
Training and Education (AFC-56)			111,703			1,226					112,929			1,226	
Recruiting and Training Centers (AFC-34)			101,029			(1,197)					99,832			(1,197)	
<i>SubTotal</i>			<b>212,732</b>			<b>29</b>					<b>212,761</b>			<b>29</b>	
<b>IV. Operating Funds and Unit Level Maintenance</b>															
Atlantic Command (AFC-30)			174,129			(88)					174,041			(88)	
Pacific Command (AFC-30)			198,804			3,511					202,315			3,511	
1st District (AFC-30)			60,287			595					60,882			595	
5th District (AFC-30)			21,615			(160)					21,455			(160)	
7th District (AFC-30)			82,068			(1,419)					80,639			(1,419)	
8th District (AFC-30)			49,219			80					49,299			80	
9th District (AFC-30)			31,272			(911)					30,361			(911)	
11th District (AFC-30)			17,662			(99)					17,563			(99)	
13th District (AFC-30)			22,830			(52)					22,778			(52)	
14th District (AFC-30)			19,004			(122)					18,882			(122)	
17th District (AFC-30)			29,321			(103)					29,218			(103)	
Headquarter Directorates (AFC-30)			253,277			(20,077)					237,400			(15,877)	
Headquarter Managed Units (AFC-30)			147,831			(1,016)					146,815			(1,016)	
Other Activities (AFC-40)			863			(92)					771			(92)	
<i>SubTotal</i>			<b>1,108,172</b>			<b>(19,953)</b>					<b>1,093,419</b>			<b>(15,753)</b>	
<b>V. Centrally Managed Accounts</b>															
Centrally-Managed Operating Expenses (AFC-36)			336,161			(6,283)					350,178			14,017	
<i>SubTotal</i>			<b>336,161</b>			<b>(6,283)</b>					<b>350,178</b>			<b>14,017</b>	
<b>VI. Depot Level Maintenance</b>															
Aeronautical (AFC-41)			334,630			6,244					340,874			6,244	
Electronic (AFC-42)			169,880			(3,967)					165,913			(3,967)	
Civil/Ocean Engineering & Shore Facilities (AFC-43)			185,180			1,374					186,554			1,374	
Vessel (AFC-45)			241,127			(4,373)					236,754			(4,373)	
<i>SubTotal</i>			<b>930,817</b>			<b>(722)</b>					<b>930,095</b>			<b>(722)</b>	
<b>SubTotal Operating Expenses</b>	<b>49,441</b>	<b>49,255</b>	<b>6,755,254</b>		<b>(1,056)</b>	<b>11,424</b>			<b>48,385</b>	<b>48,784</b>	<b>6,791,178</b>	<b>(1,056)</b>	<b>(471)</b>	<b>35,924</b>	
<b>Operating Expenses Supplementals</b>															
Overseas Contingency Operations (OCO) Funding (P.L. 112-74)			258,000												
Proposed DoD OCO Transfer			-								[872]			[872]	
<b>Total</b>	<b>49,441</b>	<b>50,127</b>	<b>7,013,254</b>		<b>(1,056)</b>	<b>11,424</b>			<b>48,385</b>	<b>48,784</b>	<b>6,791,178</b>	<b>(1,056)</b>	<b>(471)</b>	<b>35,924</b>	



**D. Summary of Reimbursable Resources**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

Collection by Source	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase/Decrease					
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount			
Department of Homeland Security	115	107	25,948	134	110	15,119	125	108	14,364	(9)	(2)	(755)
Department of Defense	476	430	153,232	542	458	54,687	469	418	48,089	(73)	(40)	(6,598)
Department of Transportation	35	20	9,957	17	13	1,850	9	5	1,218	(8)	(8)	(632)
Department of Treasury	1	1	46	1	1	150	1	1	170	-	-	20
Department of Commerce	6	6	3,015	10	9	1,406	9	8	1,321	(1)	(1)	(85)
Department of State	27	27	9,133	8	7	1,135	7	6	971	(1)	(1)	(164)
Department of Justice	-	-	2,467	1	1	141	1	1	145	-	-	4
Federal Emergency Management Agency	-	-	1,273	-	-	20,000	-	-	20,300	-	-	300
Environmental Protection Agency	-	-	8,646	38	32	4,297	25	19	2,618	(13)	(13)	(1,679)
Miscellaneous												
- Panama Canal Authority	-	-	16	-	-	50	-	-	52	-	-	2
- National Science Foundation	-	-	-	-	-	-	-	-	-	-	-	-
Other Anticipated Reimbursables General	127	71	12,372	112	57	10,138	111	57	10,301	(1)	-	163
Operational Reimbursements	-	-	-	-	-	191,027	-	-	194,693	-	-	3,666
<b>Total Budgetary Resources</b>	<b>787</b>	<b>662</b>	<b>226,105</b>	<b>863</b>	<b>688</b>	<b>300,000</b>	<b>757</b>	<b>623</b>	<b>294,242</b>	<b>(106)</b>	<b>(65)</b>	<b>(5,758)</b>

Obligations by Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase/Decrease					
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount			
Military Pay & Benefits	540	480	52,574	618	502	63,742	534	458	54,416	(84)	(44)	(9,326)
Civilian Pay & Benefits	247	182	24,701	245	186	25,030	223	165	22,262	(22)	(21)	(2,768)
Operational Reimbursements	-	-	148,830	-	-	211,228	-	-	217,564	-	-	6,336
<b>Total Obligations</b>	<b>787</b>	<b>662</b>	<b>226,105</b>	<b>863</b>	<b>688</b>	<b>300,000</b>	<b>757</b>	<b>623</b>	<b>294,242</b>	<b>(106)</b>	<b>(65)</b>	<b>(5,758)</b>

**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1 Full-time permanent	519,629	561,014	567,714	6,700
11.3 Other than full-time permanent	8,114	9,812	9,849	37
11.5 Other personnel compensation	24,787	19,753	19,827	74
11.6 Military personnel - basic allowance for housing	676,722	767,933	760,364	(7,569)
11.7 Military personnel	1,856,938	1,876,453	1,827,735	(48,718)
11.8 Special service pay	7,186	7,258	7,172	(86)
12.1 Civilian personnel benefits	167,781	187,061	189,826	2,765
12.2 Military personnel benefits	239,769	252,596	244,445	(8,151)
13.0 Benefits-former	12,737	13,211	12,760	(451)
<b>Total, Personnel Comp. &amp; Benefits</b>	<b>\$ 3,513,663</b>	<b>\$ 3,695,091</b>	<b>\$ 3,639,692</b>	<b>\$ (55,399)</b>
Other Objects Classes:				
21.0 Travel	331,225	303,917	277,427	(26,490)
22.0 Transportation of things	75,364	70,034	66,250	(3,784)
23.1 GSA rent	90,837	91,664	93,664	2,000
23.2 Other rent	32,340	27,880	27,447	(433)
23.3 Communication, utilities, and misc charges	156,827	161,906	160,730	(1,176)
24.0 Printing and reproduction	3,685	2,878	2,778	(100)
25.1 Advisory and assistance services	217,147	168,285	110,845	(57,440)
25.2 Other services	934,605	869,323	839,334	(29,989)
25.3 Purchases of goods & svcs. from gov't accounts	30,824	36,773	38,148	1,375
25.4 Operation & maintenance of facilities	187,607	207,433	193,802	(13,631)
25.5 Research and development	-	-	-	-
25.6 Medical care	306,823	325,204	352,999	27,795
25.7 Operation and maintenance of equipment	125,313	219,060	205,487	(13,573)
25.8 Subsistence and support of persons	32,447	32,427	29,981	(2,446)
26.0 Supplies and materials	732,636	690,901	623,934	(66,967)
31.0 Equipment	115,735	109,649	106,509	(3,140)
32.0 Land and structures	17,828	22,771	20,984	(1,787)
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	2,552	1,167	1,167	-
<b>Total, Other Object Classes</b>	<b>\$ 3,393,795</b>	<b>\$ 3,341,272</b>	<b>\$ 3,151,486</b>	<b>\$ (189,786)</b>
<b>Total Direct Obligations</b>	<b>\$ 6,907,458</b>	<b>\$ 7,036,363</b>	<b>\$ 6,791,178</b>	<b>\$ (245,185)</b>
<b>Total Requirements</b>	<b>\$ 6,930,567</b>	<b>\$ 7,013,254</b>	<b>\$ 6,791,178</b>	

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses - Military  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
O-10	1	1	1	-
O-9	4	4	4	-
O-8	24	24	24	-
O-7	8	6	6	-
O-6	352	292	282	(10)
O-5	760	761	741	(20)
O-4	1,242	1,277	1,239	(38)
O-3	2,253	2,353	2,275	(78)
O-2	1,428	1,479	1,402	(77)
O-1	162	162	172	10
CWO	1,553	1,586	1,542	(44)
Cadet/OC	1,013	852	852	-
E-10	1	1	1	-
E-9	328	299	298	(1)
E-8	697	641	630	(11)
E-7	3,270	3,283	3,207	(76)
E-6	6,659	6,791	6,628	(163)
E-5	8,133	8,256	8,062	(194)
E-4	7,239	7,260	7,122	(138)
E-3	4,082	3,956	3,843	(113)
E-2	1,371	1,471	1,423	(48)
E-1	689	690	690	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>41,269</b>	<b>41,445</b>	<b>40,444</b>	<b>(1,001)</b>
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	41,291	41,445	40,444	(1,001)
<b>FTE<sup>1</sup></b>	<b>41,093</b>	<b>41,729</b>	<b>41,197</b>	<b>(532)</b>
Headquarters	1,129	1,013	845	(168)
U.S. Field	40,004	40,292	39,459	(833)
Foreign Field	136	140	140	-
<b>Total Permanent Positions</b>	<b>41,269</b>	<b>41,445</b>	<b>40,444</b>	<b>(1,001)</b>
Position Data:				
<b>Average Salary, Officer Positions<sup>2</sup></b>	<b>\$ 98,891</b>	<b>\$ 97,920</b>	<b>\$ 97,347</b>	<b>\$ (572)</b>
<b>Average Grade, Officer Positions</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>-</b>
<b>Average Salary, Enlisted Positions<sup>2</sup></b>	<b>\$ 60,422</b>	<b>\$ 59,810</b>	<b>\$ 57,522</b>	<b>\$ (2,288)</b>
<b>Average Grade, Enlisted Positions</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>-</b>

<sup>1</sup> The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

<sup>2</sup> The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	15	15	15	-
Total, EX	-	-	-	-
GS-15	174	163	160	(3)
GS-14	589	553	544	(9)
GS-13	1,315	1,347	1,313	(34)
GS-12	1,604	1,694	1,688	(6)
GS-11	942	968	984	16
GS-10	26	30	30	-
GS-9	597	659	672	13
GS-8	197	192	174	(18)
GS-7	723	734	726	(8)
GS-6	235	302	290	(12)
GS-5	140	155	152	(3)
GS-4	23	30	30	-
GS-3	1	2	2	-
GS-2	9	5	5	-
Other Graded Positions	1,188	1,147	1,156	9
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>7,778</b>	<b>7,996</b>	<b>7,941</b>	<b>(55)</b>
Unfilled Positions EOY	628	646	642	(4)
Total Perm. Employment (Filled Positions) EOY	7,150	7,350	7,299	(51)
<b>FTE</b>	<b>6,978</b>	<b>7,526</b>	<b>7,587</b>	<b>61</b>
Headquarters	1,457	1,414	1,289	(125)
U.S. Field	6,321	6,582	6,652	70
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>7,778</b>	<b>7,996</b>	<b>7,941</b>	<b>(55)</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b> <sup>1</sup>	\$ 217,700	\$ 226,400	\$ 227,500	\$ 1,100
<b>Average Personnel Costs, GS Positions</b> <sup>1</sup>	\$ 107,973	\$ 109,784	\$ 111,471	\$ 1,687
<b>Average Grade, GS Positions</b>	11	11	11	-

<sup>1</sup> The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Reimbursables - Military  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	1	1	1	-
O-7	1	1	1	-
O-6	14	13	10	(3)
O-5	12	31	27	(4)
O-4	41	50	37	(13)
O-3	41	41	33	(8)
O-2	9	9	9	-
O-1	-	-	-	-
CWO4	24	24	22	(2)
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	6	6	4	(2)
E-8	10	12	9	(3)
E-7	38	43	36	(7)
E-6	90	113	98	(15)
E-5	145	166	157	(9)
E-4	92	92	74	(18)
E-3	14	14	14	-
E-2	2	2	2	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>540</b>	<b>618</b>	<b>534</b>	<b>(84)</b>
Unfilled Positions EOY	60	116	76	(40)
Total Perm. Employment EOY	480	502	458	(44)
<b>FTE<sup>1</sup></b>	<b>480</b>	<b>502</b>	<b>458</b>	<b>(44)</b>
Headquarters	79	79	79	-
U.S. Field	449	527	443	(84)
Foreign Field	12	12	12	-
<b>Total Permanent Positions</b>	<b>540</b>	<b>618</b>	<b>534</b>	<b>(84)</b>
<u>Position Data:</u>				
<b>Average Salary, Officer Positions<sup>2</sup></b>	<b>\$ 119,670</b>	<b>\$ 120,352</b>	<b>\$ 119,778</b>	<b>\$ (574)</b>
<b>Average Grade, Officer Positions</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>-</b>
<b>Average Salary, Enlisted Positions<sup>2</sup></b>	<b>\$ 64,409</b>	<b>\$ 65,372</b>	<b>\$ 62,122</b>	<b>\$ (3,249)</b>
<b>Average Grade, Enlisted Positions</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>-</b>

<sup>1</sup> The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

<sup>2</sup> The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Reimbursables - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	3	3	1	(2)
GS-14	17	17	13	(4)
GS-13	33	33	26	(7)
GS-12	46	44	44	-
GS-11	32	32	32	-
GS-10	-	-	-	-
GS-9	27	27	27	-
GS-8	14	14	6	(8)
GS-7	46	46	45	(1)
GS-6	-	-	-	-
GS-5	29	29	29	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>247</b>	<b>245</b>	<b>223</b>	<b>(22)</b>
Unfilled Positions EOY	65	59	56	(3)
Total Perm. Employment (Filled Positions) EOY	182	186	167	(19)
<b>FTE</b>	<b>182</b>	<b>186</b>	<b>165</b>	<b>(21)</b>
Headquarters	45	45	35	(10)
U.S. Field	202	200	188	(12)
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>247</b>	<b>245</b>	<b>223</b>	<b>(22)</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b>	n/a	n/a	n/a	n/a
<b>Average Personnel Costs, GS Positions</b>	\$ 96,785	\$99,106.53	\$98,360.09	\$ (746)
<b>Average Grade, GS Positions</b>	10	10	10	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
PPA I: Military Personnel  
Funding Schedule  
(Dollars in Thousands)**

<b>PPA I: Military Personnel</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel - basic allowance for housing	676,722	767,933	760,364	(7,569)
11.7	Military personnel	1,856,938	1,876,453	1,827,735	(48,718)
11.8	Special service pay	7,186	7,258	7,172	(86)
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	239,769	252,596	244,445	(8,151)
13.0	Benefits-former	12,566	12,694	12,241	(453)
21.0	Travel	88,328	81,021	75,496	(5,525)
22.0	Transportation of things	64,255	60,885	57,031	(3,854)
23.1	GSA rent	-	-	-	-
23.2	Other rent	5,633	1,253	234	(1,019)
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	49,899	14,892	6,007	(8,885)
25.3	Purchases of goods & svcs. from gov't accounts	30,824	31,317	31,473	156
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	301,670	320,512	348,307	27,795
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	55,276	44,554	44,643	89
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	1,761	447	447	-
<b>Total, Military Personnel</b>		<b>\$ 3,390,827</b>	<b>\$ 3,471,815</b>	<b>\$ 3,415,595</b>	<b>\$ (56,220)</b>
<b>Full Time Equivalents</b>		<b>41,093</b>	<b>41,729</b>	<b>41,197</b>	<b>(532)</b>

## PPA I Mission Statement

This PPA requests funding for expenses related to compensation for active duty military personnel. This category also includes pay, allowances, employer's share of FICA, Social Security credits and other expenses associated with compensating military personnel. Requested funding will compensate military personnel as they serve the Nation across all of the Coast Guard's eleven statutory missions in support of the Coast Guard's six FYHSP Programs.

### Summary Justification and Explanation of Changes

#### Salaries and Benefits

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 2,793,181	\$ 2,916,934	\$ 2,851,957	\$ (64,977)

Salaries and benefits provide funds for compensation directly related to duties performed for the Coast Guard by active duty military personnel. The FY 2013 request reflects funding for the proposed pay raise (1.7 percent), medical benefits, and other mandatory personnel entitlements. Personnel increases include personnel to operate new systems and assets, including the Fast Response Cutter (FRC), HC-144A, Response Boat-Medium (RB-M), and Interagency Operation Centers. Personnel reductions include the decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of HTHM patrol boat operations, retirement of three HU-25 aircraft, closure of two seasonal air facilities, and programmatic reductions.

#### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 88,328	\$ 81,021	\$ 75,496	\$ (5,525)

Requested funds cover the travel costs of Coast Guard military service members, while in an authorized travel status, either directly or by reimbursing the traveler. Funding also supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. The FY 2013 request reflects decreases in funding allotted for PCS travel costs, including costs associated with decommissionings or delivery of new assets, or reductions that are part of enterprise-wide efficiencies.

#### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 64,255	\$ 60,885	\$ 57,031	\$ (3,854)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. The FY 2013 request includes funding for PCS travel costs, including PCS costs for the crews associated with delivery of new assets, including the Fast Response Cutter (FRC), HC-144A, and reductions that are part of enterprise-wide efficiencies.



**Other rent**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 5,633</b>	<b>\$ 1,253</b>	<b>\$ 234</b>	<b>\$ (1,019)</b>

Other rent includes all payments to a non-Federal source for rental space, land and structures. Funding supports lease renewals for facilities (e.g., office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The FY 2013 request reflects decreases as part of program reductions.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 49,899</b>	<b>\$ 14,892</b>	<b>\$ 6,007</b>	<b>\$ (8,885)</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The request reflects a reduction associated with the military to civilian position conversion.

**Purchases of goods & svcs. from gov't accounts**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 30,824</b>	<b>\$ 31,317</b>	<b>\$ 31,473</b>	<b>\$ 156</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements. The FY 2013 request reflects decreases as part of programmatic reductions such as the Organizational performance Consultants.

**Medical care**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 301,670</b>	<b>\$ 320,512</b>	<b>\$ 348,307</b>	<b>\$ 27,795</b>

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. Specifically, funding supports medical care costs for military service members. The request includes actuary-forecasted cost increases associated with the existing workforce, and changes in FTE through FY 2013 adjustments to base.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 55,276</b>	<b>\$ 44,554</b>	<b>\$ 44,643</b>	<b>\$ 89</b>

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. There is no significant change in the FY 2013 request.

**Insurance claims and indemnity**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 1,761</b>	<b>\$ 447</b>	<b>\$ 447</b>	<b>\$ -</b>

The FY 2013 request has no change.

**H. PPA Budget Justifications**

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Operating Expenses**  
**PPA II: Civilian Personnel**  
**Funding Schedule**  
(Dollars in Thousands)

<b>PPA II: Civilian Personnel</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
Object Classes					
11.1	Full-time permanent	519,629	561,014	567,714	6,700
11.3	Other than full-time permanent	8,114	9,812	9,849	37
11.5	Other personnel compensation	24,787	19,753	19,827	74
11.6	Military personnel - basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	167,781	187,061	189,826	2,765
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	171	517	519	2
21.0	Travel	347	300	300	-
22.0	Transportation of things	3,079	2,095	2,095	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Civilian Personnel</b>		<b>\$ 723,908</b>	<b>\$ 780,552</b>	<b>\$ 790,130</b>	<b>\$ 9,578</b>
<b>Full Time Equivalents</b>		<b>6,978</b>	<b>7,526</b>	<b>7,587</b>	<b>61</b>

## PPA II Mission Statement

This PPA requests funding for expenses related to compensation and entitlements for Federal civilian employees. The workforce is composed of General Schedule (GS) personnel, Administrative Law Judges (AL), Senior Executive Service (SES) personnel, personnel whose salaries are Administratively Determined (AD) (e.g., Coast Guard Academy civilian faculty members), Wage Grade (WG) positions employed in industrial positions, and "Non-Ceiling" (NC) employees (e.g., cooperative education students, student aids, summer interns and Federal junior fellows) and civilian employees not otherwise covered by other PPAs.

### Summary Justification and Explanation of Changes

#### Salaries and Benefits

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 720,482	\$ 778,157	\$ 787,735	\$ 9,578

Salaries and benefits funds provide for compensation directly related to duties performed for the Coast Guard by Federal civilian employees. The FY 2013 request includes funding for a pay raise (0.5 percent) and civilian personnel increases associated with the addition of personnel to support new systems and assets including the FRC, the HC-144A and the cutter asset training system. This request also includes medical benefits, and other mandatory personnel entitlements.

#### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 347	\$ 300	\$ 300	\$ -

Requested funds cover the travel costs of Coast Guard civilian employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2013 request has no change.

#### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 3,079	\$ 2,095	\$ 2,095	\$ -

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding primarily supports the shipment of civilian personnel's household goods in conjunction with the acceptance of a new position. The FY 2013 request has no change.

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
PPA III: Training and Recruiting  
Funding Schedule  
(Dollars in Thousands)**

<b>PPA III: Training and Recruiting</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel - basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	42,705	42,956	43,689	733
22.0	Transportation of things	903	846	846	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	4,998	4,682	4,682	-
23.3	Communication, utilities, and misc charges	9,369	9,267	8,725	(542)
24.0	Printing and reproduction	909	688	688	-
25.1	Advisory and assistance services	17,670	13,358	11,676	(1,682)
25.2	Other services	85,178	90,759	86,214	(4,545)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	9,587	12,844	12,788	(56)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	2,593	2,674	81
25.8	Subsistence and support of persons	-	-	17	17
26.0	Supplies and materials	41,986	39,385	35,890	(3,495)
31.0	Equipment	4,576	4,567	4,872	305
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Training and Recruiting</b>		<b>\$ 217,881</b>	<b>\$ 221,945</b>	<b>\$ 212,761</b>	<b>\$ (9,184)</b>
<b>Full Time Equivalents</b>		-	-	-	-

### PPA III Mission Statement

Requests funding for the Coast Guard's professional training and education programs, and operation and maintenance of the six Coast Guard Training Centers and the Coast Guard Academy. Provides funding for tuition, travel and per diem for formal training and education performed as Temporary Assigned Duty (TAD) for military and civilian personnel. "Formal training and education" is defined as structured, curriculum-based instruction and applied exercises for the attainment and retention of skills and knowledge required to accomplish specific job tasks. Requested funding will ensure a level of capabilities and competencies commensurate with the response posture the Coast Guard has displayed in recent years, such as operational responses Overseas Contingency Operations, Hurricanes Katrina and Irene, the earthquake in Haiti, Deepwater Horizon oil spill, 2011 Western Rivers floods, and other events requiring a rapid response capability.

### Summary Justification and Explanation of Changes

#### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 42,705	\$ 42,956	\$ 43,689	\$ 733

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The travel request for FY 2013 includes funding derived from additional operational training requirements resulting from additional personnel to operate and maintain the Fast Response Cutters, Response Boats-Medium, and HC-144A aircraft.

#### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 903	\$ 846	\$ 846	\$ -

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 request has no change.

#### Other rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 4,998	\$ 4,682	\$ 4,682	\$ -

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request has no change.

#### Communication, utilities, and misc charges

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 9,369	\$ 9,267	\$ 8,725	\$ (542)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The decrease is an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Printing and reproduction**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 909</b>	<b>\$ 688</b>	<b>\$ 688</b>	<b>\$ -</b>

Includes printing and reproduction costs. The FY 2013 request has no change.

**Advisory and assistance services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 17,670</b>	<b>\$ 13,358</b>	<b>\$ 11,676</b>	<b>\$ (1,682)</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (e.g., private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2013 request reflects the net result of annualization of prior year management efficiencies, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 85,178</b>	<b>\$ 90,759</b>	<b>\$ 86,214</b>	<b>\$ (4,545)</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2013 request reflects the net result of annualization of prior year management efficiencies, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Operation & maintenance of facilities**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 9,587</b>	<b>\$ 12,844</b>	<b>\$ 12,788</b>	<b>\$ (56)</b>

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2013 request reflects the net result of operating costs associated with surface asset training systems and enterprise-wide efficiencies.

**Operation and maintenance of equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ -	\$ 2,593	\$ 2,674	\$ 81

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats, and aircraft, C4IRS) and supporting systems. The FY 2013 request reflects operation of surface asset training systems.

**Subsistence and support of persons**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ -	\$ -	\$ 17	\$ 17

The FY 2013 request reflects transitioning Air Station Cape Cod to the operation of HC-144A aircraft.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 41,986	\$ 39,385	\$ 35,890	\$ (3,495)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational, training and shore support units. The FY 2013 request reflects the net result of annualization of prior year management efficiencies, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 4,576	\$ 4,567	\$ 4,872	\$ 305

This object class covers the purchase of capitalized and non-capitalized assets. For example, this object class enables the Coast Guard to purchase furniture for the cadets at the Coast Guard Academy. The FY 2013 request is for operating surface asset and IOC training systems.

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
PPA IV: Operation and Maintenance  
Funding Schedule  
(Dollars in Thousands)**

<b>PPA IV: Operation and Maintenance</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel - basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	179,185	164,006	144,008	(19,998)
22.0	Transportation of things	7,127	6,208	6,078	(130)
23.1	GSA rent	-	-	-	-
23.2	Other rent	21,709	21,945	22,531	586
23.3	Communication, utilities, and misc charges	80,027	76,985	69,769	(7,216)
24.0	Printing and reproduction	2,776	2,190	2,090	(100)
25.1	Advisory and assistance services	70,523	39,334	18,757	(20,577)
25.2	Other services	287,721	294,791	278,645	(16,146)
25.3	Purchases of goods & svcs. from gov't accounts	-	4,730	4,960	230
25.4	Operation & maintenance of facilities	77,895	85,263	78,292	(6,971)
25.5	Research and development	-	-	-	-
25.6	Medical care	5,153	4,692	4,692	-
25.7	Operation and maintenance of equipment	10,629	24,028	23,816	(212)
25.8	Subsistence and support of persons	32,447	32,342	29,879	(2,463)
26.0	Supplies and materials	437,896	420,620	381,022	(39,598)
31.0	Equipment	36,537	30,387	27,160	(3,227)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	791	720	720	-
<b>Total, Operation and Maintenance</b>		<b>\$ 1,250,416</b>	<b>\$ 1,208,241</b>	<b>\$ 1,092,419</b>	<b>\$ (115,822)</b>
<b>Full Time Equivalents</b>		-	-	-	-



## PPA IV Mission Statement

Requests funding to units, facilities and activities that are under the direct operational and administrative control of the Coast Guard's Atlantic Area and Pacific Area Commanders, operational units as well as headquarters units. These include High Endurance Cutters (WHECs), Medium Endurance Cutters (WMECs), Communications Stations, Sector Commands, Stations, Marine Safety and Security Teams (MSSTs), various support units, and Area offices as applicable. Request includes funding to sustain normal operating costs that include energy, parts, and supplies for routine maintenance of operational assets and shore facilities and administrative supplies.

### Summary Justification and Explanation of Changes

#### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 179,185	\$ 164,006	\$ 144,008	\$ (19,998)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2013 request reflects the net change of annualization of prior year management efficiencies, enterprise-wide efficiencies, and surface and air asset follow-on costs. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

#### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 7,127	\$ 6,208	\$ 6,078	\$ (130)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 request reflects the net result of annualization of prior year management efficiencies, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

#### Other rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 21,709	\$ 21,945	\$ 22,531	\$ 586

Other rent includes all payments to a non-Federal source for rental space, land and structures. Funding supports lease renewals for facilities (e.g., office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). The FY 2013 request reflects the annualization of FY 2012 funding, and surface and air asset follow-on costs.

#### Communication, utilities, and misc charges

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 80,027	\$ 76,985	\$ 69,769	\$ (7,216)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Printing and reproduction**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 2,776</b>	<b>\$ 2,190</b>	<b>\$ 2,090</b>	<b>\$ (100)</b>

The FY 2013 request primarily reflects Service-wide reduction as part of the enterprise-wide efficiencies.

**Advisory and assistance services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 70,523</b>	<b>\$ 39,334</b>	<b>\$ 18,757</b>	<b>\$ (20,577)</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2013 request reflects reductions attributed to enterprise-wide efficiencies. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 287,721</b>	<b>\$ 294,791</b>	<b>\$ 278,645</b>	<b>\$ (16,146)</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2013 request reflects surface and air asset follow-on costs. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Purchases of goods & svcs. from gov't accounts**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ -</b>	<b>\$ 4,730</b>	<b>\$ 4,960</b>	<b>\$ 230</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements. The FY 2013 request reflects annualization of FY 2012 part-year funding and surface and air asset follow-on costs.

**Operation & maintenance of facilities**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 77,895</b>	<b>\$ 85,263</b>	<b>\$ 78,292</b>	<b>\$ (6,971)</b>

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2013 request reflects the net change in enterprise-wide efficiencies and surface and air asset follow-on costs. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Medical care**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 5,153</b>	<b>\$ 4,692</b>	<b>\$ 4,692</b>	<b>\$ -</b>

The FY 2013 request has no change.

**Operation and maintenance of equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 10,629</b>	<b>\$ 24,028</b>	<b>\$ 23,816</b>	<b>\$ (212)</b>

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats, and aircraft) and supporting systems. The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Subsistence and support of persons**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 32,447</b>	<b>\$ 32,342</b>	<b>\$ 29,879</b>	<b>\$ (2,463)</b>

The FY 2013 request has not changed. The decrease is an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 437,896</b>	<b>\$ 420,620</b>	<b>\$ 381,022</b>	<b>\$ (39,598)</b>

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2013 request reflects the net change in the annualization of FY 2012 initiatives, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, and enterprise-wide efficiencies. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 36,537</b>	<b>\$ 30,387</b>	<b>\$ 27,160</b>	<b>\$ (3,227)</b>

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2013 request reflects the net change in surface and air asset follow-on funding, small boat program support, and the annualization of FY 2012 as part of DHS enterprise-wide efficiencies.

**Insurance claims and indemnity**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 791</b>	<b>\$ 720</b>	<b>\$ 720</b>	<b>\$ -</b>

The FY 2013 request has no change.

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
PPA V: Central Accounts  
Funding Schedule  
(Dollars in Thousands)**

<b>PPA V: Central Accounts</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel - basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	90,837	91,664	93,664	2,000
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	63,151	71,400	78,360	6,960
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	12,308	10,007	7,415	(2,592)
25.2	Other services	125,262	130,809	128,937	(1,872)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	332	332
25.4	Operation & maintenance of facilities	-	1,844	1,844	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	12,512	8,343	8,065	(278)
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	10,970	8,925	5,555	(3,370)
31.0	Equipment	27,767	27,857	26,006	(1,851)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Central Accounts</b>		<b>\$ 342,807</b>	<b>\$ 350,849</b>	<b>\$ 350,178</b>	<b>\$ (671)</b>
<b>Full Time Equivalents</b>		-	-	-	-

## PPA V Mission Statement

This request provides funding for accounts centrally managed at Coast Guard Headquarters such as: Federal Telephone System (FTS) accounts, Standard Workstation recapitalization, ammunition replenishment, recapitalization of buoys, GSA Rent, postal expenses and Mass Transit benefits. Request ensures critical support elements are provided to the workforce, allowing them to execute their roles in supporting Coast Guard operations. Lease of adequate office space, effective communications (computers, phones, etc) and operational gear (ammunition) are all part of those critical support requirements.

### Summary Justification and Explanation of Changes

#### GSA rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 90,837	\$ 91,664	\$ 93,664	\$ 2,000

GSA Rent includes all payments to the General Services Administration (GSA) for rental of space and rent related services. The FY 2013 increase reflects increased costs associated with the move to the DHS consolidated headquarters at St. Elizabeths.

#### Communication, utilities, and misc charges

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 63,151	\$ 71,400	\$ 78,360	\$ 6,960

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs. The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, surface and air asset follow-on, and increased costs associated with the move to the DHS consolidated headquarters at St. Elizabeths.

#### Advisory and assistance services

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 12,308	\$ 10,007	\$ 7,415	\$ (2,592)

Advisory and assistance services include services acquired by contract from non-Federal sources (e.g., the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2013 request reflects the net reduction as part of enterprise-wide efficiencies.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 125,262	\$ 130,809	\$ 128,937	\$ (1,872)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, surface and air asset follow-on and costs associated with the move to the DHS consolidated headquarters at St. Elizabeths.

**Purchases of goods & svcs. from gov't accounts**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ -	\$ -	\$ 332	\$ 332

Purchases from Government Accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements (e.g., MIPR). The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Operation & maintenance of facilities**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ -	\$ 1,844	\$ 1,844	\$ -

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2013 request has no change.

**Operation and maintenance of equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 12,512	\$ 8,343	\$ 8,065	\$ (278)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats, and aircraft) and supporting systems. The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of three 110' patrol boats, two High Endurance Cutters, disestablishment of patrol-boat HTHM operations, retirement of three HU-25 aircraft, enterprise-wide efficiencies, and surface and air asset follow-on costs.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 10,970</b>	<b>\$ 8,925</b>	<b>\$ 5,555</b>	<b>\$ (3,370)</b>

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The FY 2013 request reflects the net result of annualization of FY 2012 funding and the reduction attributed to enterprise-wide efficiencies.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 27,767</b>	<b>\$ 27,857</b>	<b>\$ 26,006</b>	<b>\$ (1,851)</b>

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2013 request reflects the net result of annualization of FY 2012 funding and the reduction attributed to enterprise-wide efficiencies.



**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses  
PPA VI: Depot Level Maintenance  
Funding Schedule  
(Dollars in Thousands)**

<b>PPA VI: Depot Level Maintenance</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
Object Classes					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel - basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	20,660	15,634	13,934	(1,700)
22.0	Transportation of things	-	-	200	200
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	4,280	4,254	3,876	(378)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	116,646	105,586	72,997	(32,589)
25.2	Other services	386,545	338,072	339,531	1,459
25.3	Purchases of goods & svcs. from gov't accounts	-	726	1,383	657
25.4	Operation & maintenance of facilities	100,125	107,482	100,878	(6,604)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	102,172	184,096	170,932	(13,164)
25.8	Subsistence and support of persons	-	85	85	-
26.0	Supplies and materials	186,508	177,417	156,824	(20,593)
31.0	Equipment	46,855	46,838	48,471	1,633
32.0	Land and structures	17,828	22,771	20,984	(1,787)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Depot Level Maintenance</b>		<b>\$ 981,619</b>	<b>\$ 1,002,961</b>	<b>\$ 930,095</b>	<b>\$ (72,866)</b>
<b>Full Time Equivalents</b>		-	-	-	-

## PPA VI Mission Statement

Request provides service-wide funding to support the major maintenance and repair of Coast Guard aircraft, electronics systems, shore facilities and vessels not appropriated in the Coast Guard Acquisition, Construction & Improvements (AC&I) appropriation. This includes materials, services and supplies necessary for depot-level repair of buildings, structures, ground, towers, runways, aids to navigation, aircraft, and aircraft equipment.

### Summary Justification and Explanation of Changes

#### Travel

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 20,660	\$ 15,634	\$ 13,934	\$ (1,700)

The FY 2013 request reflects the net result of annualization of FY 2012 funding and the reduction attributed to enterprise-wide efficiencies.

#### Transportation of things

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ -	\$ -	\$ 200	\$ 200

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is no significant increase in FY 2013.

#### Communication, utilities, and misc charges

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 4,280	\$ 4,254	\$ 3,876	\$ (378)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters and aircraft, utility costs, postal costs and cutter, boat and aircraft fuel requirements. The FY 2013 request reflects the net result of annualization of FY 2012 funding, decommissioning of multiple assets, enterprise-wide efficiencies, and surface and air asset follow-on costs.

#### Advisory and assistance services

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 116,646	\$ 105,586	\$ 72,997	\$ (32,589)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. Specifically, funding supports contracted training and services to repair/maintain Coast Guard operational assets and facilities. The FY 2013 request reflects the net reductions as part of enterprise-wide efficiencies. The decrease is a result of the conversion of security clearance contractors to federal employees associated with the Balanced Workforce Strategy follow-on. The decrease is also partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 386,545	\$ 338,072	\$ 339,531	\$ 1,459

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs and other initiatives focused on improving performance of Coast Guard missions. The FY 2013 request annualization of FY 2012 funding, and surface and air asset follow-on.

**Purchases of goods & svcs. from gov't accounts**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ -	\$ 726	\$ 1,383	\$ 657

Purchases from Government Accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Specifically, funds support the purchase of goods and services from other government agencies including interagency service requirements (e.g., MIPR). The FY 2013 request reflects the annualization of base funding.

**Operation & maintenance of facilities**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 100,125	\$ 107,482	\$ 100,878	\$ (6,604)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental services (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2013 request reflects the annualization of prior year management efficiencies, and the closure of two seasonal air facilities.

**Operation and maintenance of equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 102,172	\$ 184,096	\$ 170,932	\$ (13,164)

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. Specifically, funding supports contracted specialized maintenance and minor repair of Coast Guard operational assets (e.g., cutters, boats and aircraft) and supporting systems. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 186,508</b>	<b>\$ 177,417</b>	<b>\$ 156,824</b>	<b>\$ (20,593)</b>

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats and aircraft, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. The decrease is partly an artifact of the display which includes OCO obligations for FY 2012, but not FY 2013.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 46,855</b>	<b>\$ 46,838</b>	<b>\$ 48,471</b>	<b>\$ 1,633</b>

This object class covers the purchase of capitalized and non-capitalized assets. The FY 2013 request is attributed to the annualization of FY 2012 funding.

**Land and structures**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 17,828</b>	<b>\$ 22,771</b>	<b>\$ 20,984</b>	<b>\$ (1,787)</b>

The FY 2013 reduction reflects enterprise-wide efficiencies.

## I. Changes in Full-Time Equivalents

### Department of Homeland Security U. S. Coast Guard Operating Expenses

#### Changes in Full-Time Equivalents

Operations and Support -- includes both military and civilian FTE <sup>1</sup>

	FY 2011	FY 2012	FY 2013
<b>Base: Year-end FTE from Prior Year</b>	<b>48,591</b>	<b>48,912</b>	<b>49,255</b>
<b>Adjustments-to-Base : Transfers</b>			
<b>Transfer #1:</b> Interdepartmental Transfer	-	113	-
<b>Description:</b> Interdepartmental Transfer			
<b>Sub-Total Transfers</b>	<b>-</b>	<b>113</b>	<b>-</b>
<b>Adjustments-to-Base : Increases</b>			
<b>Increase #1:</b> Annualization of part year funding	319	235	260
<b>Description:</b> Annualization of prior year FTE			
<b>Increase #2:</b> Response Boat Medium follow-on	5	1	10
<b>Description:</b> Maintenance personnel to support RB-M			
<b>Increase #3:</b> Rescue 21 follow-on	1	-	-
<b>Description:</b> Operation of Rescue 21			
<b>Increase #4:</b> Nationwide Automatic Identification System (NAIS) follow-on	7	3	-
<b>Description:</b> NAIS operations follow-on			
<b>Increase #5:</b> Surface and Air Asset follow-on	151	199	127
<b>Description:</b> Crewing, staffing and support of new assets			
<b>Increase #6:</b> Defense Messaging System (DMS) Follow-On	3	-	-
<b>Description:</b> Defense Messaging System (DMS) Follow-On			
<b>Increase #7:</b> Rescue Swimmer Training Facility follow-on	7	-	-
<b>Description:</b> Rescue swimmer training facility staff			
<b>Increase #8:</b> Watchkeeper Follow-On	-	7	2
<b>Description:</b> Watchkeeper Personnel			
<b>Increase #9:</b> Reserve Force Contract Conversion	-	13	-
<b>Description:</b> Reserve Force Contract Conversion			
<b>Increase #10:</b> Balanced Workforce Strategy	300	19	33
<b>Description:</b> Balanced Workforce Initiative and follow-on adjustments			
<b>Increase #11:</b> Reclassification of Reimbursable FTE to Direct FTE	-	-	13
<b>Description:</b> Reclassification of reimbursable FTE to direct FTE			
<b>Sub-Total Increases</b>	<b>793</b>	<b>477</b>	<b>445</b>

	FY 2011	FY 2012	FY 2013
<b>Adjustments-to-Base : Decreases</b>			
<b>Decrease #1:</b> Prior Year Management Annualizations <b>Description:</b> Annualization of management savings and management efficiencies	(177)	(316)	(92)
<b>Decrease #2:</b> HU-25 Aircraft <b>Description:</b> Retire HU-25 aircraft	(32)	-	(20)
<b>Decrease #3:</b> High Endurance Cutter (HEC) <b>Description:</b> Decommission two HECs in FY 2011, one in FY 2012 and two in FY 2013	(190)	(92)	(241)
<b>Decrease #4:</b> Medium Endurance Cutter (MEC) <b>Description:</b> Decommission ACUSHNET	(43)	-	-
<b>Decrease #5:</b> Manned Covert Surveillance Aircraft Follow-On <b>Description:</b> Manned covert surveillance aircraft personnel	(12)	-	-
<b>Decrease #6:</b> Consolidate Maritime Intelligence Fusion Centers (MIFCs) <b>Description:</b> Consolidate maritime intelligence fusion centers (MIFCs)	(7)	-	-
<b>Decrease #7:</b> PC-179 Patrol Boats <b>Description:</b> Decommission three PC-179 patrol boats	-	(108)	-
<b>Decrease #8:</b> Termination of Sector Corpus Christi Facility Follow-On <b>Description:</b> Termination of Sector Corpus Christi Facility Follow-On	-	(26)	-
<b>Decrease #9:</b> Patrol Boat High Tempo High Maintenance (HTHM) Operations <b>Description:</b> HTHM operations reduction	-	-	(206)
<b>Decrease #10:</b> Three 110-Patrol Boats <b>Description:</b> Decommission three 110 ft patrol boats	-	-	(35)
<b>Decrease #11:</b> Seasonal Air Facilities <b>Description:</b> Closure of two air facilities and workforce restructure	-	-	(34)
<b>Decrease #12:</b> Enterprise-Wide Efficiencies <b>Description:</b> Base logistics shared services personnel	-	-	(24)
<b>Decrease #13:</b> Programmatic Reductions <b>Description:</b> Coast Guard program personnel, including headquarters staff reduction	-	-	(264)
<b>Sub-Total Decreases</b>	<b>(461)</b>	<b>(542)</b>	<b>(916)</b>

	FY 2011	FY 2012	FY 2013
<b>Program Changes</b>			
<b>Change #1:</b> Decommission MSST Anchorage/ Invest in LEDET Capacity <b>Description:</b> Decommission one MSST and partially reinvest in LEDET capacity	(20)	-	-
<b>Change #2:</b> CG Investigative Service (CGIS) <b>Description:</b> Consolidate CG investigative service field units	(5)	-	-
<b>Change #3:</b> Marine Environmental Response <b>Description:</b> Marine Environmental Response	14	53	-
<b>Change #4:</b> Enhancing Marine Environmental Response <b>Description:</b> Enhancing Marine Environmental Response	-	44	-
<b>Change #5:</b> Child Care Initiative <b>Description:</b> Child Care Initiative	-	6	-
<b>Change #6:</b> Polar Icebreaking Program <b>Description:</b> Budget authority for Coast Guard operation and maintenance of polar icebreakers	-	180	-
<b>Change #7:</b> Distress Alerting Satellite System (DASS) <b>Description:</b> DASS program management	-	1	-
<b>Change #8:</b> Tactical Boat Crew Training <b>Description:</b> Increase training personnel for tactical boat crews	-	11	-
<b>Sub-Total Program Changes</b>	<b>(11)</b>	<b>295</b>	<b>-</b>
<b>Year-end Enacted / Estimated FTEs</b>	<b>48,912</b>	<b>49,255</b>	<b>48,784</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>321</b>	<b>343</b>	<b>(471)</b>

<sup>1</sup>. The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

**Department of Homeland Security  
U. S. Coast Guard  
Operating Expenses**

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

Program/Project Activity	FY 2011	FY 2012	FY 2013	Increase / Decrease
	Actual	Base	Anticipated	for FY 2013
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
FedLink	\$ 956	\$ 1,275	\$ 748	\$ (527)
Financial Statement Audit	\$ 2,548	\$ 2,548	\$ 5,413	\$ 2,865
Internal Control Audit	\$ 136	\$ 136	\$ 509	\$ 373
Bankcard Program	\$ 3	\$ 3	\$ 4	\$ 0
TIER	\$ 27	\$ 52	\$ 48	\$ (4)
NFC Payroll Services	\$ 2,253	\$ 2,253	\$ 2,142	\$ (111)
HCBS Payroll Service	\$ 329	\$ 373	\$ 365	\$ (7)
Flexible Spending Account	\$ 124	\$ 124	\$ 123	\$ (1)
DHS Exec Lead	\$ 11	\$ 24	\$ 24	\$ (0)
CIO/DHS Infrastructure Transfer Program	\$ 5,397	\$ 5,555	\$ 5,973	\$ 418
NCRIO	\$ 5	\$ 5	\$ 26,700	\$ 26,695
ELA	\$ 12,269	\$ 12,982	\$ 20,944	\$ 7,961
EP&HP DSS	\$ -	\$ -	\$ 77	\$ 77
HSPD-12	\$ -	\$ -	\$ 9	\$ 9
PAS	\$ -	\$ -	\$ 50	\$ 50
Interagency Council Funding	\$ 177	\$ 177	\$ 180	\$ 3
USA Jobs	\$ 47	\$ 52	\$ 47	\$ (4)
e-Training	\$ 212	\$ 389	\$ 416	\$ 27
Enterprise HR Integration (EHRI)	\$ 164	\$ 164	\$ 150	\$ (14)
e-Rulemaking	\$ 4	\$ 6	\$ 73	\$ 66
e-Grants.gov	\$ 7	\$ 7	\$ 7	\$ (0)
HR LOB	\$ 9	\$ 9	\$ 9	\$ (1)
e-GovBenefits	\$ 7	\$ 7	\$ 7	\$ (0)
Fin Mgmt LOB	\$ 1	\$ 3	\$ 29	\$ 27
Geospatial LOB	\$ 1	\$ 1	\$ 13	\$ 12
Budget Formulation & Execution LOB	\$ 2	\$ 2	\$ 21	\$ 20
e-Gov Integrated Acquisition Environment	\$ 513	\$ 516	\$ 485	\$ (32)
e-Gov Disaster Mgmt	\$ 1,798	\$ 1,798	\$ 1,785	\$ (13)
IAE Loans and Grants	\$ 9	\$ 9	\$ 9	\$ (0)
Grants Mgmt LOB	\$ 1	\$ 1	\$ 1	\$ (0)
Capital Planning and Investment Control (CPIC)	\$ 843	\$ 1,199	\$ 1,428	\$ 230
Strategic Sourcing	\$ 100	\$ 276	\$ 255	\$ (21)
CPO Shared Reporting	\$ 735	\$ 1,038	\$ 672	\$ (366)
WCF Ops	\$ 48	\$ 55	\$ 95	\$ 40
<b>Total Working Capital Fund</b>	<b>\$ 28,736</b>	<b>\$ 31,038</b>	<b>\$ 68,809</b>	<b>\$ (37,771)</b>



## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 (i.e., highest priority) contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

The Coast Guard will not convert any Tier 1 contracts in FY 2013.

Position Type	FY 2011 Actual		FY 2012 Pres. Budget		FY 2012 Annualization		FY 2012 Follow On <sup>1</sup>		FY 2013 Increase		FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
Legal Instruments Examiner	65	65	-	-	-	-	-	-	-	-	65	65
General Inspector/Compliance Managers	7	7	-	-	-	-	-	-	-	-	7	7
Tech Writer/Multimedia Specialists	5	5	-	-	-	-	-	-	-	-	5	5
Senior Engineering Tech	1	1	-	-	-	-	-	-	-	-	1	1
Supply Technician	1	1	-	-	-	-	-	-	-	-	1	1
Construction/Damage Control Inspector	10	10	-	-	-	-	-	-	-	-	10	10
Security Specialists	15	15	-	-	-	-	33	33	-	-	48	48
Telecommunication/IT Specialists	25	25	-	-	-	-	-	-	-	-	25	25
Spectrum Management Analyst	9	9	-	-	-	-	-	-	-	-	9	9
Inventory Management Specialist	3	3	-	-	-	-	-	-	-	-	3	3
Human Resources	14	14	-	-	-	-	-	-	-	-	14	14
Flight Data Program Manager	1	1	-	-	-	-	-	-	-	-	1	1
Equipment Specialist	17	17	-	-	-	-	-	-	-	-	17	17
Contract Specialist	3	3	-	-	-	-	-	-	-	-	3	3
Data Librarian	2	2	-	-	-	-	-	-	-	-	2	2
Budget/Program/Management Analyst	19	19	-	-	-	-	-	-	-	-	19	19
Field Terminal Operator	42	42	-	-	-	-	-	-	-	-	42	42
Electronics Technicians	26	26	-	-	-	-	-	-	-	-	26	26
Systems Analyst	12	12	-	-	-	-	-	-	-	-	12	12
Software Engineer/Developer	4	4	-	-	-	-	-	-	-	-	4	4
Electronic Technician	3	3	-	-	-	-	-	-	-	-	3	3
Systems Support Administration	2	2	-	-	-	-	-	-	-	-	2	2
Civil Engineering Logistics Trainer	9	9	-	-	-	-	-	-	-	-	9	9
Intelligence	5	5	4	4	-	-	-	-	-	-	9	9
Accountant	15	15	-	-	-	-	-	-	-	-	15	15
<b>Total</b>	<b>315</b>	<b>315</b>	<b>4</b>	<b>4</b>	<b>-</b>	<b>-</b>	<b>33</b>	<b>33</b>	<b>-</b>	<b>-</b>	<b>352</b>	<b>352</b>

<sup>1</sup>The 33 Pos/FTE associated with the FY 2012 Balanced Workforce Strategy follow-on is for 33 additional contractor positions converted in FY 2012 and annotated in the BWS Technical Adjustment.

### **Annualization and Follow-On of FY 2012 DHS Balanced Workforce Strategy**

Consistent with the Department of Homeland Security's (DHS) Balanced Workforce Strategy (BWS) requirements, the Coast Guard continues to conduct a phased review of all of its professional services contracts to determine if any of the work performed must or should be performed by government employees. Using the Department's guidance, a BWS Tool review of the Coast Guard's security clearance adjudication support contract determined that the majority of the work performed by contractors leading to the granting or denial of security clearances for government and contractor employees is "Closely-Associated-to-Inherently Governmental Functions/Reserved for Government Performance." Based on the results of the DHS BWS Tool review, conversion of the work to government performance is recommended as continued use of contractors to perform this important function would be inappropriate. The FY 2012 technical adjustment accounts for civilian conversions associated with the insourcing of 33 positions to perform Coast Guard security clearance adjudications/determinations, and technical base adjustments to reallocate funding for professional service contracts to the appropriate PPA.

# Physicians' Comparability Allowance (PCA) Worksheet

US Coast Guard - 12 Sept 2011

Table 1

	PY 2011 (Actual)	CY 2012 (Estimates)	BY 2013* (Estimates)
1) Number of Physicians Receiving PCAs	3	3	3
2) Number of Physicians with One-Year PCA Agreements	0	0	0
3) Number of Physicians with Multi-Year PCA Agreements	3	3	3
4) Average Annual PCA Physician Pay (without PCA payment)	\$142,848	\$142,848	\$142,848
5) Average Annual PCA Payment	\$19,333	\$19,333	\$19,333
6) Number of Physicians Receiving PCAs by Category (non-add)	Category I Clinical Position	0	0
	Category II Research Position	0	0
	Category III Occupational Health	3	3
	Category IV-A Disability Evaluation	0	0
	Category IV-B Health and Medical Admin.	0	0

\*FY 2013 data will be approved during the FY 2014 Budget cycle.

- 7) If applicable, list and explain the necessity of any additional physician categories designated by your agency (for categories other than I through IV-B). Provide the number of PCA agreements per additional category for the PY, CY and BY.

N/A

- 8) Provide the maximum annual PCA amount paid to each category of physician in your agency and explain the reasoning for these amounts by category.

The average annual amount of PCA paid to the Physicians is \$19,333 on two-year service agreements. Two of the Physicians are paid a PCA of \$14,000 each; the third receives PCA for \$30,000 based on their respective experience/qualifications. Total amount paid is \$58,000 divided by (3) = average of \$19,333.

- 9) Explain the recruitment and retention problem(s) for each category of physician in your agency (this should demonstrate that a current need continues to persist).

*(Please include any staffing data to support your explanation, such as number and duration of unfilled positions and number of accessions and separations per fiscal year.)*  
 The 3 physicians receiving PCA are all Category III positions. The United States Coast Guard has experienced difficulty in recruiting and retaining Medical Officer positions as described in 5 CFR 595.104. It took 21 months of open continuous vacancy announcements to fill the 3 positions. All 3 are located in West Virginia. A long standing 4th position (Alameda, CA) was recently abolished after the incumbent retired. Although PCA was offered for the 3 West Virginia jobs, numerous declinations occurred based on low salary offers. Competition continues to be keen for Physicians in the area due to the proximity of VA medical hospitals and private medical facilities that are offering higher pay at market rates. Despite extensive recruitment efforts, the Coast Guard continues to have difficulty attracting new physicians. The 3 positions that were eventually filled were the only 3 eligible for PCA and to whom PCA was offered. Continued use of PCAs for these positions is essential to retain these Physicians and to ensure the Coast Guard meets our medical operational requirements.

- 10) Explain the degree to which recruitment and retention problems were alleviated in your agency through the use of PCAs in the prior fiscal year.

*(Please include any staffing data to support your explanation, such as number and duration of unfilled positions and number of accessions and separations per fiscal year.)*  
 The 2 positions filled in 2010 that were authorized PCA remain filled in Sept 2011 per their service agreements. The 3<sup>rd</sup> position hired in 2011 also remains filled. Simply stated, we had difficulty filling all these new positions even when PCA was offered. The continuing authorization of PCA for these positions is critical in retaining these employees.

- 11) Provide any additional information that may be useful in planning PCA staffing levels and amounts in your agency.

N/A

# Department of Homeland Security

*United States Coast Guard*

*Environmental Compliance and Restoration*

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Fiscal Year 2013

Congressional Justification



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**U. S. Coast Guard**  
**Environmental Compliance and Restoration**

**I. Appropriation Overview**

**A. Mission Statement for Environmental Compliance and Restoration:**

The Environmental Compliance and Restoration (EC&R) appropriation provides funding for environmental cleanup, sustainment and restoration of current and formerly contaminated Coast Guard facilities, and engineering remedies on Coast Guard assets for the purpose of complying with environmental laws and preventing contamination and environmental damage. The EC&R funding request supports all of the Coast Guard's 11 statutory missions and six DHS FYHSP Programs.

EC&R funding ensures the Coast Guard maintains its responsibilities associated with environmental stewardship. The Coast Guard complies with the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Superfund Amendments and Reauthorization Act, Resource Conservation and Recovery Act (RCRA) and other applicable Federal or State laws to clean up contamination at current and former Coast Guard properties. Failure to meet restoration or compliance responsibilities could subject the U.S. Government to fines, penalties, or shutdown of operational assets by environmental regulators.

**B. Budget Activities:**

EC&R activities include site investigation and remediation activities at shore facilities and for Coast Guard property slated for divestiture or transfer.

**C. Budget Request Summary:**

The Coast Guard requests 25 positions, 24 FTE, and \$13.2 million in FY 2013 to provide for environmental remediation and restoration of Coast Guard facilities, including Base Support Unit Kodiak; Surface Forces Logistics Center/Coast Guard Yard, MD; Aviation Logistics Center Elizabeth City, NC; and for environmental assessments for decommissioned Long Range Aids to Navigation (LORAN) stations. Funding requested is planned to be allocated by EC&R activity as follows:

Site Investigations	\$1.031 million
Remediation Activities	\$6.242 million
Long Term Environmental Monitoring	\$0.945 million
LORAN –C Environmental Assessments	\$1.5 million
Salaries/Expenses	\$3.437 million

Depending on project complexity, and conditions identified during routine monitoring and detailed site surveys, project sites may undergo monitoring, remediation and restoration in a phased approach yielding a funding distribution across multiple years. The table below provides a detailed listing of each planned FY 2013 EC&R project based on information regarding prioritization of work, as of February 2012. The list may be adjusted as new information is developed. The list is updated routinely as projects are added, assessments are conducted, and project priority codes are updated.

Project Title	Location	Estimated Cost (\$K)
Research and Development on vessel National Uniform Discharge Systems	Not applicable; collaboration with DOD/USN	\$100
Investigations/Remediation to support National Aids to Navigation (AtoN) Battery Program	Various	\$200
Investigations/Remediation for LORAN-C Closures	Various	\$1,500
Investigations/Remediation for Real Property Divestiture	Various	\$250
Ongoing Remediation at Former Fuel Farm Discharge/Spill	Base Elizabeth City, NC	\$75
Ongoing Remediation at Electroplating Shop (B79) Release Site	Base Elizabeth City, NC	\$25
Ongoing Remediation at Building 75 Discharge/Spill Site	Base Elizabeth City, NC	\$50
Ongoing Remediation at Stripping Shop Building 77 Release Site	Base Elizabeth City, NC	\$50
Ongoing Remediation at North Beach Disposal Area	Base Elizabeth City, NC	\$75
Ongoing Remediation for Asbestos Removal	Air Station Traverse City, MI	\$20
Ongoing Remediation at Pesticide Release Solid Waste Management Unit (SWMU) 33 Site	Base Elizabeth City, NC	\$30
Ongoing Remediation at Landfill/Burn Area (SWMU) 15 Site	Base Elizabeth City, NC	\$30
Ongoing Remediation at Fuel Pipeline Discharge/Spill Site	Base Elizabeth City, NC	\$50
Ongoing Remediation at Seaplane Pipeline Release Site	Base Elizabeth City, NC	\$30
Ongoing Remediation at Gate 1 Discharge/Spill Site	Base Elizabeth City, NC	\$25

<b>Project Title</b>	<b>Location</b>	<b>Estimated Cost (\$K)</b>
Ongoing Remediation at Former Naval Dispensary and Barracks Release Site (FNDBRS) Discharge/Spill Site	Base Elizabeth City, NC	\$25
Investigation at Cocos Island LORAN-A Station: Soil/sediment sampling	Cocos Island, Guam	\$65
Ongoing Remediation at Former LORAN-A Station YAP	Yap, Federated States of Micronesia	\$140
Ongoing Remediation at Ilio Point for Supplemental Cleanup	Ilio Point, Island of Molokai, HI	\$125
Implementation & Long-term Monitoring at Industrial Supply Depot (ISD) Buoy Depot S. Weymouth Land Use Control	ISD Buoy Depot South Weymouth, MA	\$50
Long Term Monitoring at Former Air Station Brooklyn	Former Air Station Brooklyn, NY	\$180
Ongoing Remediation in support California ATON Battery Consent Order	Southern CA Islands	\$200
Investigation at Portland Harbor Superfund Site to determine Potential Responsible Party (PRP)	Marine Safety Unit (MSU) Portland	\$10
Long Term Monitoring at Site 1 - Coast Guard Landfill	Kodiak, AK	\$85
Ongoing Remediation at Site 3 – Laundry	Kodiak, AK	\$390
Long Term Monitoring at Site 6 – Fuel	Kodiak, AK	\$75
Long Term Monitoring at Site 6B - Nyman Fuel Farm	Kodiak, AK	\$85
Long Term Monitoring at Site 7A - Barrel Storage No. 1 location	Kodiak, AK	\$150
Long Term Monitoring at Site 9 – Aviation Fuel Site	Kodiak, AK	\$75
Long Term Monitoring at Site 10/11– Air Station Paint Storage	Kodiak, AK	\$65
Ongoing Remediation at Site 23 - Old Power Plant	Kodiak, AK	\$300

<b>Project Title</b>	<b>Location</b>	<b>Estimated Cost (\$K)</b>
Investigations to support Permit/Formally Utilized Defense Sites (FUDS) Work	Kodiak, AK	\$75
Ongoing Remediation at Site 9 – Dredging	CG Yard, Baltimore, MD	\$500
Monitoring at Sites 7 & 9 – Wells	CG Yard, Baltimore, MD	\$150
Ongoing Remediation at Annette Island Site 74 Coast Guard Aboveground Storage Tank (AST)	Annette Island, AK – Property Divestiture	\$559
Ongoing Remediation at Annette Island Site 73 CG Boiler AST	Annette Island, AK – Property Divestiture	\$20
Ongoing Remediation at Annette Island Site 75 CG Hangar	Annette Island, AK – Property Divestiture	\$1,587
Alternatives Analysis Investigation at Lime Kiln Point	Friday Harbor, WA	\$75
Investigation at Aunuu Island battery Site	Aunuu Island, American Samoa	\$8
Investigation at Underground Storage Tank (UST) Release Site	Old Group (Base) Milwaukee, WI	\$150
Remediation at Pt Higgins Site	Radio Station Pt Higgins, AK	\$561
Initial Site Visit & Site Investigation at Former LORSTA-A Niihau	Former LORAN Station Niihau, HI	\$8
Investigations at Beavertail Light and Watch Hill Light	Lighthouse Beavertail/ Watch Hill, RI	\$200
Soil and Groundwater Contamination Investigation	Old Base St. Louis, MO	\$60
Monitored Natural Attenuation of Soil and Groundwater Contamination	Pascagoula, MS	\$30
Ongoing Remediation at Guard Island Site	Sitka, AK	\$218
Phase I Investigation at Cape Disappointment Dead Man's Cove	Ilwaco, WA	\$30
Remediation to support CERCLA Clean up	Menagerie Island Light, MI	\$350
Supplemental Cleanup and Remediation at Former LORSTA Kure Landfill	Former LORAN-A STATION Kure, HI	\$607

**II. Summary of FY 2012 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Environmental Compliance and Restoration**  
 Summary of FY 2013 Budget Estimates by Program/Project Activity  
 (Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Environmental Compliance and Restoration	25	\$ 12,593	24	\$ 13,500	24	\$ 13,162	-	\$ (338)	-	\$ -	-	\$ (338)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>25</b>	<b>\$ 12,593</b>	<b>24</b>	<b>\$ 13,500</b>	<b>24</b>	<b>\$ 13,162</b>	<b>-</b>	<b>\$ (338)</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ (338)</b>
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	<b>25</b>	<b>\$ 12,593</b>	<b>24</b>	<b>\$ 13,500</b>	<b>24</b>	<b>\$ 13,162</b>	<b>-</b>	<b>\$ (338)</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ (338)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U. S. Coast Guard  
Environmental Compliance and Restoration  
Program Performance Justification  
(Dollars in Thousands)**

#### PPA I: ENVIRONMENTAL COMPLIANCE AND RESTORATION

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>25</b>	<b>25</b>	<b>\$12,593</b>
<b>2012 Enacted Budget Authority</b>	<b>25</b>	<b>24</b>	<b>13,500</b>
2013 Adjustments-to-Base	...	...	(338)
<b>2013 Current Services</b>	<b>25</b>	<b>24</b>	<b>13,162</b>
2013 Program Change	...	...	...
<b>2013 Requested Budget Authority</b>	<b>25</b>	<b>24</b>	<b>13,162</b>

The Coast Guard requests \$13.2 million for this activity.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The purpose of the EC&R Appropriation is to carry out a program of environmental compliance and restoration at all current and former Coast Guard facilities. It involves the identification, investigation, and cleanup of contamination from hazardous substances and pollutants; and engineering fixes (i.e., physical changes) to Coast Guard systems, buildings, structures and assets in order to comply with environmental laws and prevent future environmental liabilities stemming from non-compliance.

## **V. Exhibits and Other Supporting Materials**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
U. S. Coast Guard  
Justification of Proposed Changes in Environmental Compliance and Restoration  
Appropriation Language**

For necessary expenses to carry out the environmental compliance and restoration functions of the Coast Guard under chapter 19 of title 14, United States Code, [\$13,500,000]**\$13,162,000**, to remain available until September 30, [2016]**2017**. (*Department of Homeland Security Appropriations Act, 2012.*)

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Environmental Compliance and Restoration**

FY 2012 to FY 2013 Budget Change

(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	<b>25</b>	<b>25</b>	<b>12,593</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>25</b>	<b>24</b>	<b>13,500</b>
<b>Adjustments-to-Base</b>			
Increases			
Annualization of FY 2012 Military Pay Raise	-	-	-
FY 2013 Pay Raise	-	-	12
Total Increases	-	-	12
Decreases			
Program Support Reduction			(350)
Total Decreases	-	-	(350)
<b>Total Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>(338)</b>
<b>FY 2013 Current Services</b>	<b>25</b>	<b>24</b>	<b>13,162</b>
<b>FY 2013 Requested Budget Authority</b>	<b>25</b>	<b>24</b>	<b>13,162</b>
<b>2012 to 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>(338)</b>





**D. Summary of Reimbursable Resources**

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Environmental, Compliance and Restoration**  
 Summary of Reimbursable Resources  
 (Dollars in Thousands)

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase/Decrease								
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount						
Environmental Protection Agency	-	-	2,537	-	-	5,000	-	-	1,000	-	-	-	-	-	(4,000)
<b>Total Budgetary Resources</b>	-	-	<b>2,537</b>	-	-	<b>5,000</b>	-	-	<b>1,000</b>	-	-	-	-	-	<b>(4,000)</b>

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase/Decrease								
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount						
Environmental Project	-	-	2,537	-	-	5,000	-	-	1,000	-	-	-	-	-	(4,000)
<b>Total Obligations</b>	-	-	<b>2,537</b>	-	-	<b>5,000</b>	-	-	<b>1,000</b>	-	-	-	-	-	<b>(4,000)</b>

**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Environmental Compliance & Restoration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

<b>Object Classes</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
11.1	Full-time permanent	2,270	2,195	2,203	8
11.3	Other than full-time permanent	19	18	18	-
11.5	Other personnel compensation	83	81	82	1
11.6	Military personnel -basic allowance for housing	28	31	31	
11.7	Military personnel	74	83	84	1
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	658	636	638	2
12.2	Military personnel benefits	8	12	12	-
13.0	Benefits-former	1	1	1	-
<b>Total, Personnel Comp. &amp; Benefits</b>		<b>\$ 3,141</b>	<b>\$ 3,057</b>	<b>\$ 3,069</b>	<b>\$ 12</b>
Other Objects Classes:					
21.0	Travel	99	163	106	(57)
22.0	Transportation of things	16	26	17	(9)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	124	204	132	(72)
25.2	Other services	9,164	15,066	9,785	(5,281)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	8	13	9	(4)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	41	67	44	(23)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Other Object Classes</b>		<b>\$ 9,452</b>	<b>\$ 15,539</b>	<b>\$ 10,093</b>	<b>\$ (5,446)</b>
<b>Total, Direct Obligations</b>		<b>\$ 12,593</b>	<b>\$ 18,596</b>	<b>\$ 13,162</b>	<b>\$ (5,434)</b>
<b>Total Requirements</b>		<b>\$ 14,390</b>	<b>\$ 13,500</b>	<b>\$ 13,162</b>	

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Environmental Compliance and Restoration - Military  
Permanent Positions by Grade**

Grade	FY 2011	FY 2012	FY 2013	2012 - 2013
	Actual Obligations Pos.	Enacted Budget Authority Pos.	Requested Budget Authority Pos.	Change Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	-	-	-	-
O-5	-	-	-	-
O-4	1	1	1	-
O-3	-	-	-	-
O-2	-	-	-	-
O-1	-	-	-	-
CWO4	-	-	-	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	-	-	-	-
E-6	-	-	-	-
E-5	-	-	-	-
E-4	-	-	-	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	1	1	1	-
<b>FTE<sup>1</sup></b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>-</b>
Headquarters	1	1	1	-
U.S. Field	-	-	-	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>-</b>
Position Data:				
<b>Average Salary, Officer Positions<sup>2</sup></b>	<b>\$ 124,529</b>	<b>\$ 121,813</b>	<b>\$ 124,199</b>	<b>\$ 2,386</b>
<b>Average Grade, Officer Position</b>	<b>-</b>	<b>4</b>	<b>4</b>	<b>-</b>

<sup>1</sup>The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

<sup>2</sup>The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Environmental Compliance and Restoration - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	2	2	2	-
GS-13	7	7	7	-
GS-12	14	14	14	-
GS-11	-	-	-	-
GS-10	-	-	-	-
GS-9	-	-	-	-
GS-8	-	-	-	-
GS-7	-	-	-	-
GS-6	-	-	-	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	24	24	24	-
Unfilled Positions EOY	1	2	2	-
Total Perm. Employment (Filled Positions) EOY	23	22	22	-
<b>FTE</b>	23	23	23	-
Headquarters	4	4	4	-
U.S. Field	20	20	20	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	24	24	24	-
Position Data:				
<b>Average Personnel Costs, ES Positions</b>	n/a	n/a	n/a	n/a
<b>Average Personnel Costs, GS Positions</b>	\$ 125,817	\$ 129,217	\$ 131,317	\$ 2,100
<b>Average Grade, GS Positions</b>	13	13	13	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non-foreign Cost-of-Living Allowance, and premium compensation for firefighters. Civilian FTP is presented as a count of full time positions vice full time employees.

## H. PPA Budget Justifications

**Department of Homeland Security  
U. S. Coast Guard  
Environmental Compliance & Restoration  
PPA I  
Funding Schedule  
(Dollars in Thousands)**

Environmental Compliance & Restoration		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	2,270	2,195	2,203	8
11.3	Other than full-time permanent	19	18	18	-
11.5	Other personnel compensation	83	81	82	1
11.6	Military personnel - basic allowance for housing	28	31	31	-
11.7	Military personnel	74	83	84	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	658	636	638	2
12.2	Military personnel benefits	8	12	12	-
13.0	Benefits-former	1	1	1	-
21.0	Travel	99	163	106	(57)
22.0	Transportation of things	16	26	17	(9)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	124	204	132	(72)
25.2	Other services	9,164	15,066	9,785	(5,281)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	8	13	9	(4)
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	41	67	44	(23)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Environmental Compliance and Restoration</b>		<b>\$ 12,593</b>	<b>\$ 18,596</b>	<b>\$ 13,162</b>	<b>\$ (5,435)</b>
Unobligated balance, start of year		(3,299)	(5,096)	-	
Unobligated balance, end of year		5,096	-	-	
Recoveries		-	-	-	
<b>Total Requirements</b>		<b>\$ 14,390</b>	<b>\$ 13,500</b>	<b>\$ 13,162</b>	

### PPA Mission Statement

Environmental Compliance and Restoration (EC&R) will provide for (1) environmental cleanup and restoration of current and formerly contaminated Coast Guard facilities, and (2) engineering fixes on Coast Guard assets to comply with environmental laws and keep environmental damage from developing. Failure to meet restoration or compliance responsibilities could subject the Coast Guard to fines, penalties, or shutdown of operational assets by environmental regulators. In addition, Coast Guard EC&R funding supports site investigation and remediation activities at shore facilities slated for property divestiture or transfer actions.

**Summary Justification and Explanation of Changes**

**Salaries and Benefits**

	FY 2011		FY 2012		FY 2013		2012 - 2013
	Actual		Enacted		Requested		
	<u>Obligations</u>		<u>Budget Authority</u>		<u>Budget Authority</u>		<u>Change</u>
	\$ 3,141	\$	3,057	\$	3,069	\$	11

The FY 2013 request includes the proposed pay raise (1.7 percent for military and 0.5 for civilians), medical benefits, other mandatory personnel entitlements.

**Travel**

	FY 2011		FY 2012		FY 2013		2012 - 2013
	Actual		Enacted		Requested		
	<u>Obligations</u>		<u>Budget Authority</u>		<u>Budget Authority</u>		<u>Change</u>
	\$ 99	\$	163	\$	106	\$	(57)

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects anticipated project travel needs.

**Transportation of things**

	FY 2011		FY 2012		FY 2013		2012 - 2013
	Actual		Enacted		Requested		
	<u>Obligations</u>		<u>Budget Authority</u>		<u>Budget Authority</u>		<u>Change</u>
	\$ 16	\$	26	\$	17	\$	(9)

Transportation of things, the care of such things while in process of being transported, and other services incident to the transportation of things.

**Advisory and Assistance**

	FY 2011		FY 2012		FY 2013		2012 - 2013
	Actual		Enacted		Requested		
	<u>Obligations</u>		<u>Budget Authority</u>		<u>Budget Authority</u>		<u>Change</u>
	\$ 124	\$	204	\$	132	\$	(72)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

**Other services**

	FY 2011		FY 2012		FY 2013		2012 - 2013
	Actual		Enacted		Requested		
	<u>Obligations</u>		<u>Budget Authority</u>		<u>Budget Authority</u>		<u>Change</u>
	\$ 9,164	\$	15,066	\$	9,785	\$	(5,281)

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. This request reflects consideration of prior-year unobligated balances.

**Operation & maintenance of facilities**

<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>2012 - 2013</b>
<b>Actual</b>	<b>Enacted</b>	<b>Requested</b>	
<b>Obligations</b>	<b>Budget Authority</b>	<b>Budget Authority</b>	<b>Change</b>
\$ 8	\$ 13	\$ 9	(4)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. Specifically, funds support contracted janitorial, landscaping, security, and environmental service (e.g., hazardous materials disposal) associated with the operation of Coast Guard facilities. The FY 2013 request reflects the anticipated need for maintenance of facilities.

**Equipment**

<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>2012 - 2013</b>
<b>Actual</b>	<b>Enacted</b>	<b>Requested</b>	
<b>Obligations</b>	<b>Budget Authority</b>	<b>Budget Authority</b>	<b>Change</b>
\$ 41	\$ 67	\$ 44	(23)

This object class covers the purchase of capitalized (depreciated) assets and non-capitalized assets.



# Department of Homeland Security

*United States Coast Guard*

*Reserve Training*

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Fiscal Year 2013

Congressional Justification



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## **U. S. Coast Guard** **Reserve Training**

### **I. Appropriation Overview**

#### **A. Mission Statement for Reserve Training:**

As the principal Federal agency charged with maritime safety, security and environmental stewardship, the Coast Guard protects vital economic and security interests of the United States from internal and external maritime risks and threats. Our reserve forces request supports all 11 statutory missions. Moreover, the Coast Guard Reserve may be called upon to provide units and personnel to augment active Coast Guard forces during times of crisis, domestically or worldwide.

#### **B. Budget Activities:**

The Reserve Training appropriation directly supports training, operation and administration of the Coast Guard Reserve Program. Coast Guard Reserve Forces provide qualified and trained personnel for active duty in the event of conflict, national emergency, or natural and man-made disasters. Reservists maintain their readiness through mobilization exercises and duty alongside regular Coast Guard members during routine and emergency operations. Reservists will continue to serve as a cost-effective surge force to enhance the Nation's resilience to disasters, as they have done in support of the Deepwater Horizon oil spill response, 2010 Haiti earthquake response, and 2011 Western Rivers flood response, and 2011 Hurricane Irene.

#### **C. Budget Request Summary:**

The Coast Guard requests 535 positions, 535 FTE, and \$132.6 million in FY 2013. This request provides necessary resources for the training, operation, and administration of the Coast Guard Reserve Program, including training, equipping, and ensuring the readiness of the Coast Guard's 8,100 member Reserve workforce. The total adjustment-to-base is a decrease of \$1.7 million, which includes a \$1.0 million increase for pay and a \$2.8 million program support reduction.

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training**

Summary of FY 2013 Budget Estimates by Program/Project Activity  
(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Pay, Benefits and Allowances	504	\$ 103,242	536	\$ 106,468	535	\$ 107,502	(1)	\$ 1,034	-	\$ -	(1)	\$ 1,034
II. Operations, Maintenance and Administration	-	\$ 29,607	-	\$ 27,810	-	\$ 25,052	-	\$ (2,758)	-	\$ -	-	\$ (2,758)
<b>Less Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>504</b>	<b>\$ 132,849</b>	<b>536</b>	<b>\$ 134,278</b>	<b>535</b>	<b>\$ 132,554</b>	<b>(1)</b>	<b>\$ (1,724)</b>	<b>-</b>	<b>\$ -</b>	<b>(1)</b>	<b>\$ (1,724)</b>
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	<b>504</b>	<b>\$ 132,849</b>	<b>536</b>	<b>\$ 134,278</b>	<b>535</b>	<b>\$ 132,554</b>	<b>(1)</b>	<b>\$ (1,724)</b>	<b>-</b>	<b>\$ -</b>	<b>(1)</b>	<b>\$ (1,724)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Reserve Training**  
Program Performance Justification  
(Dollars in Thousands)

#### PPA I: PAY, BENEFITS AND ALLOWANCES

	<b>Perm</b>		
	<b>Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>532</b>	<b>504</b>	<b>103,242</b>
<b>2012 Enacted Budget Authority</b>	<b>536</b>	<b>536</b>	<b>106,468</b>
2013 Adjustments-to-Base	...	...	1,034
<b>Current Services</b>	<b>536</b>	<b>536</b>	<b>107,502</b>
Program Change	(1)	(1)	...
<b>2013 Requested Budget Authority</b>	<b>535</b>	<b>535</b>	<b>107,502</b>

The Coast Guard requests \$107.5 million for this activity.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

This request for Pay, Benefits and Allowances funds salaries, benefits, and other compensation for both military and civilian Full Time Support (FTS) staffs supporting members of the Coast Guard's Selected Reserve, as well as for reservists who participate in training activities. The Coast Guard Reserve is the Coast Guard's surge-capacity military workforce and provides a cost-effective and versatile surge capacity to respond to major contingencies, such as natural and man-made disasters, maritime homeland security, national security, and other events.

The Coast Guard Reserve is a cornerstone of service readiness and pivotal to the success of daily mission execution and contingency response. The Coast Guard Reserve was an invaluable contributor during the Coast Guard response to the 2011 Western Rivers floods. At the same time, activated Coast Guard Reserves continue to support the Department of Defense's (DoD) Overseas Contingency Operations in support of Operation Enduring Freedom. Coast Guard reservists provide an outstanding return on investment by augmenting the active duty with needed competencies and capacity through Inactive Duty Training and Active Duty Training periods. This request for funding ensures these Reservists are fully trained and ready to perform vital missions when called upon to do so.

This request for funding also sustains 535 FTS FTE, which represent both military and civilian members who develop policy and doctrine development and manage all recruiting, formal training, personnel, and resource/program oversight.

PPA II: OPERATIONS, MAINTENANCE AND ADMINISTRATION

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>29,607</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>27,810</b>
2013 Adjustments-to-Base	...	...	(2,758)
<b>2013 Current Services</b>	...	...	<b>25,052</b>
2013 Program Change	...	...	...
<b>2013 Requested Budget Authority</b>	...	...	<b>25,052</b>

The Coast Guard requests \$25.1 million for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

This request for Operations, Maintenance and Administration funds services and facility operations to train reservists, and to administer the Reserve program.

By providing funding for enterprise-wide services used by reservists, the Reserve Training appropriation ensures equipment and facilities necessary to attract and maintain a high-caliber reserve force without eroding the resource base of the active duty military workforce. Coast Guard reservists train and serve in multiple mission areas as boarding officers, small boat coxswains, contingency planners, and marine inspectors. The Coast Guard Reserve is an extraordinary force multiplier upon which our nation can confidently rely on in times of exceptional need.



V. Exhibits and Other Supporting Materials

**A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
U. S. Coast Guard  
Justification of Proposed Changes in Reserve Training  
Appropriation Language**

For necessary expenses of the Coast Guard Reserve, as authorized by law; operations and maintenance of the Coast Guard reserve program; personnel and training costs; and equipment and services; [\$134,278,000]**\$132,554,000**. (*Department of Homeland Security Appropriations Act, 2012.*)

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	<b>532</b>	<b>504</b>	<b>132,849</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>536</b>	<b>536</b>	<b>134,278</b>
<b>Adjustments-to-Base</b>			
Increases			
Annualization of FY 2012 Pay Raise	-	-	242
FY2013 Pay Raise			792
Total Increases	<hr/>	<hr/>	<hr/>
Decreases			
Program Support Reduction	(2)	(1)	(2,758)
Total Decreases	<hr/>	<hr/>	<hr/>
<b>Total Adjustments-to-Base</b>	<hr/> <b>(2)</b>	<hr/> <b>(1)</b>	<hr/> <b>(1,724)</b>
<b>FY 2013 Current Services</b>	<b>534</b>	<b>535</b>	<b>132,554</b>
<b>FY 2013 Requested Budget Authority</b>	<b>534</b>	<b>535</b>	<b>132,554</b>
2012 to 2013 Total Change	-	-	(1,724)

C. Summary of Requirements

Department of Homeland Security

U. S. Coast Guard

Reserve Training

Summary of Requirements  
(Dollars in Thousands)

	FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority	
	Pos.	FTE	Pos.	FTE
<b>FY 2011 Actual Obligations</b>			532	504
<b>FY 2012 Enacted Budget Authority</b>			536	536
Adjustments-to-Base (See "FY 2012 to FY 2013 Budget Change" for details)				
Transfers			-	-
Increases			-	-
Decreases			(2)	(1)
Total Adjustments-to-Base			(2)	(1)
<b>FY 2013 Current Services</b>			534	535
Program Changes (See "FY 2012 to FY 2013 Budget Change" for details)			-	-
<b>FY 2013 Requested Budget Authority</b>			535	535
<b>2012 to 2013 Total Change</b>			(2)	(1)

Estimates by Program/Project Activity	FY 2012 Enacted Budget Authority		FY 2013 Adjustments-to-Base		FY 2013 Program Change		FY 2013 Requested Budget Authority		2012 to 2013 Total Change	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
PPA I: Pay, Benefits and Allowances	536	536	-	-	-	-	535	535	(2)	(1)
PPA II: Operations, Maintenance and Administration	-	-	-	-	-	-	-	-	-	-
<b>Total Reserve Training</b>	<b>536</b>	<b>536</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>535</b>	<b>535</b>	<b>(2)</b>	<b>(1)</b>

**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1 Full-time permanent	5,500	5,500	5,588	88
11.3 Other than full-time permanent	30	44	75	31
11.5 Other personnel compensation	30	30	63	33
11.6 Military personnel-basic allowance for housing	-	-	-	-
11.7 Military personnel	86,010	89,011	89,711	700
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	1,500	1,500	1,500	-
12.2 Military personnel benefits	10,000	10,208	10,389	181
13.0 Benefits-former	172	175	176	1
<b>Total, Personnel Comp. &amp; Benefits</b>	<b>\$ 103,242</b>	<b>\$ 106,468</b>	<b>\$ 107,502</b>	<b>\$ 1,034</b>
Other Objects Classes:				
21.0 Travel	10,427	9,794	8,723	(1,071)
22.0 Transportation of things	1,188	1,116	1,005	(111)
23.1 GSA rent	-	-	-	-
23.2 Other rent	65	61	55	(6)
23.3 Communication, utilities, and misc charges	90	85	76	(9)
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	7,577	7,117	6,512	(605)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	1,518	1,426	1,284	(142)
26.0 Supplies and materials	8,455	7,942	7,154	(788)
31.0 Equipment	262	246	222	(24)
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	25	23	21	(2)
<b>Total, Other Object Classes</b>	<b>\$ 29,607</b>	<b>\$ 27,810</b>	<b>\$ 25,052</b>	<b>\$ (2,758)</b>
<b>Total Direct Obligations<sup>1</sup></b>	<b>\$ 132,849</b>	<b>\$ 134,278</b>	<b>\$ 132,554</b>	<b>\$ (1,724)</b>
Unobligated balance, start of year		-	-	
Unobligated balance, end of year	(2,896)	-	-	
<b>Total Requirements</b>	<b>\$ 129,953</b>	<b>\$ 134,278</b>	<b>\$ 132,554</b>	

<sup>1</sup>Total Direct Obligations do not include unobligated balances of prior year funding.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training - Military  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	1	1	1	-
O-7	-	-	-	-
O-6	7	7	7	-
O-5	18	12	12	-
O-4	27	21	21	-
O-3	48	49	48	(1)
O-2	4	12	12	-
O-1	-	-	-	-
CWO	15	19	19	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	8	6	6	-
E-8	9	9	9	-
E-7	37	39	39	-
E-6	131	121	121	-
E-5	71	84	84	-
E-4	48	47	47	-
E-3	9	8	8	-
E-2	-	3	3	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>433</b>	<b>438</b>	<b>437</b>	<b>(1)</b>
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	433	438	437	(1)
<b>FTE<sup>1</sup></b>	<b>415</b>	<b>438</b>	<b>437</b>	<b>(1)</b>
Headquarters	31	40	40	-
U.S. Field	402	398	397	(1)
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>433</b>	<b>438</b>	<b>437</b>	<b>(1)</b>
Position Data:				
<b>Average Salary, Officer Positions<sup>2</sup></b>	<b>\$ 118,850</b>	<b>\$ 112,065</b>	<b>\$ 111,971</b>	<b>\$ (94)</b>
<b>Average Grade, Officer Positions</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>0</b>
<b>Average Salary, Enlisted Positions<sup>2</sup></b>	<b>\$ 68,776</b>	<b>\$ 68,362</b>	<b>\$ 65,529</b>	<b>\$ (2,833)</b>
<b>Average Grade, Enlisted Positions</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>-</b>

<sup>1</sup>The Coast Guard manages the military workforce by end strength, not Full Time Equivalent (FTE). The military FTE represented in these numbers are monthly end strengths averaged over the year. Public Health Service (PHS) officers were removed from this presentation to properly document the arrangement per OMB A-11 Section 85.7; Department of Health and Human Services (HHS) is the servicing account in the reimbursable FTE arrangement with the Coast Guard.

<sup>2</sup>The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular pay grade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	-	1	1	-
GS-14	4	4	4	-
GS-13	5	4	3	(1)
GS-12	15	10	10	-
GS-11	9	8	8	-
GS-10	-	-	-	-
GS-9	10	11	11	-
GS-8	5	5	5	-
GS-7	32	30	31	1
GS-6	13	14	14	-
GS-5	6	9	9	-
GS-4	-	1	1	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	1	1	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>99</b>	<b>98</b>	<b>98</b>	<b>-</b>
Unfilled Positions EOY	5	-	-	-
Total Perm. Employment (Filled Positions) EOY	94	98	98	-
<b>FTE</b>	<b>89</b>	<b>98</b>	<b>98</b>	<b>-</b>
Headquarters	11	11	11	-
U.S. Field	88	87	87	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>99</b>	<b>98</b>	<b>98</b>	<b>-</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b>	n/a	n/a	n/a	n/a
<b>Average Personnel Costs, GS Positions</b>	\$ 84,065	\$ 83,449	\$ 83,946	\$ 497
<b>Average Grade, GS Positions</b>	8	8	8	0

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays hazardous duty, reemployment annuitant and severance pays, night differential, non-foreign Cost-of-Living Allowance and premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

## H. PPA Budget Justifications

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training  
PPA I: Pay, Benefits and Allowances  
Funding Schedule  
(Dollars in Thousands)**

PPA I: Pay, Benefits and Allowances		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 to 2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	5,500	5,500	5,588	88
11.3	Other than full-time permanent	30	44	75	31
11.5	Other personnel compensation	30	30	63	33
11.6	Military personnel-basic allowance for housing	-	-	-	-
11.7	Military personnel	86,010	89,011	89,711	700
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,500	1,500	1,500	-
12.2	Military personnel benefits	10,000	10,208	10,389	181
13.0	Benefits-former	172	175	176	1
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Pay, Benefits and Allowances</b>		<b>\$ 103,242</b>	<b>\$ 106,468</b>	<b>\$ 107,502</b>	<b>\$ 1,034</b>

### PPA Mission Statement

This PPA request funds expenses for compensation of active duty military service members and civilian personnel who support the Reserve Training program. This category also includes pay, allowances, employer's share of FICA, Social Security credits and other expenses. Requested funding will compensate our 535 full-time personnel.

**Summary Justification and Explanation of Changes**

**Salaries and Benefits**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 to 2013 Change</b>
<b>\$ 103,242</b>	<b>\$ 106,468</b>	<b>\$ 107,502</b>	<b>\$ 1,034</b>

Salaries and Benefits provides compensation directly related to Coast Guard active duty military and civilian personnel duties. This includes costs for 535 FTE. The FY 2013 request includes an increase of \$1,034,000 for the annualization of FY 2012 military pay raise and the 1.7 percent increase in military and 0.5 percent increase in civilian pay in FY 2013.



## H. PPA Budget Justifications

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Reserve Training**  
**PPA II: Operations, Maintenance and Administration**  
**Funding Schedule**  
(Dollars in Thousands)

		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 to 2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel-basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	10,427	9,794	8,723	(1,071)
22.0	Transportation of things	1,188	1,116	1,005	(111)
23.1	GSA rent	-	-	-	-
23.2	Other rent	65	61	55	(6)
23.3	Communication, utilities, and misc charges	90	85	76	(9)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	7,577	7,117	6,512	(605)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	1,518	1,426	1,284	(142)
26.0	Supplies and materials	8,455	7,942	7,154	(788)
31.0	Equipment	262	246	222	(24)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	25	23	21	(2)
<b>Total, Operations, Maintenance and Administration</b>		<b>\$ 29,607</b>	<b>\$ 27,810</b>	<b>\$ 25,052</b>	<b>\$ (2,758)</b>

### PPA Mission Statement

Requested funding supports operations, maintenance and administrative expenses associated with training the 8,100 Coast Guard Reservists that are currently part of the Selective Reserve.

**Summary Justification and Explanation of Changes**

**Travel**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 10,427	\$ 9,794	\$ 8,723	\$ (1,071)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler.

**Transportation of things**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 1,188	\$ 1,116	\$ 1,005	\$ (111)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding FY 2013 reflects the anticipated need.

**Other rent**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 65	\$ 61	\$ 55	\$ (6)

Payments to a non-federal source for rental of space, land, and structures.

**Communication, utilities, and misc charges**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 90	\$ 85	\$ 76	\$ (9)

Communication, utilities, and misc charges are payment for information technology, utilities and miscellaneous changes.

**Other services**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 7,577	\$ 7,117	\$ 6,512	\$ (605)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25.

**Subsistence and support of persons**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 to 2013 Change</b>
<b>\$ 1,518</b>	<b>\$ 1,426</b>	<b>\$ 1,284</b>	<b>\$ (142)</b>

Contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners.

**Supplies and material**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 8,455</b>	<b>\$ 7,942</b>	<b>\$ 7,154</b>	<b>\$ (788)</b>

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 262</b>	<b>\$ 246</b>	<b>\$ 222</b>	<b>\$ (24)</b>

This object class covers the purchase of capitalized (depreciated) assets and non-capitalized assets.

**Insurance claims and indemnity**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 25</b>	<b>\$ 23</b>	<b>\$ 21</b>	<b>\$ (2)</b>

Benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

**I. Changes in Full-Time Equivalents**

**Department of Homeland Security  
U. S. Coast Guard  
Reserve Training  
Changes in Full-Time Equivalents**

	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<b>Base: Year-end FTE from Prior Year</b>	<b>536</b>	<b>536</b>	<b>536</b>
<b>INCREASES</b>			
<b>Increase #1:</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Description:</b>			
<b>Subtotal, Increases:</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>DECREASES:</b>			
<b>Decrease #1: Reserve Training Personnel Management</b>	<b>0</b>	<b>0</b>	<b>-1</b>
<b>Description: Reduction of Reserve full-time support personnel</b>			
<b>Subtotal, Decreases:</b>	<b>0</b>	<b>0</b>	<b>-1</b>
<b>Year-end Enacted / Estimated FTEs</b>	<b>536</b>	<b>536</b>	<b>535</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>0</b>	<b>0</b>	<b>-1</b>

# Department of Homeland Security

*United States Coast Guard*

*Acquisition, Construction and Improvements*

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Fiscal Year 2013

Congressional Justification



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# U. S. Coast Guard

## Acquisition, Construction and Improvements

### I. Appropriation Overview

#### **A. Mission Statement for Acquisition, Construction and Improvements:**

Acquisition, Construction and Improvement (AC&I) provides for the acquisition, construction, rebuilding, and improvement of vessels, aircraft, shore facilities and military housing, aids to navigation (ATON) systems and facilities, and command, control, communications and computer systems and related equipment. Funds appropriated for AC&I are managed by Coast Guard acquisition project managers who oversee these projects and apply best practices, in accordance with the Coast Guard's Major Systems Acquisition Manual (MSAM) and applicable Department of Homeland Security (DHS) management directives, to optimize the return on recapitalization investments.

#### **B. Budget Activities:**

The AC&I appropriation funds the acquisition of new capital assets, construction of required facilities, and physical improvements to existing facilities and assets. The appropriation covers Coast Guard-owned and operated vessels, shore facilities and other items such as command, control, communications and computer equipment. Through processes documented in the MSAM, acquisition managers are required to follow a continuum of activities ranging from pre-acquisition concept development to deployment and sustainment. Activities and documentation produced throughout the acquisition lifecycle inform budget requests and budget-related project activities.

#### **C. Budget Request Summary:**

The Coast Guard requests \$1.2 billion in FY 2013 for the following sub-appropriations:

- Vessels - \$879.5 million<sup>1</sup>
- Aircraft - \$74.5 million
- Other - \$76.5 million
- Shore and ATON - \$69.4 million
- Personnel and Management - \$117.4 million

<sup>1</sup>Excludes cancellation of \$25 million appropriated under the Department of Homeland Security Appropriations Act, 2010 (Public Law 111-83) for NSC #4 post-delivery activity. Reappropriated funds will be used for the same purpose.



### III. Current Services Program Description by SUBAPPROPRIATION

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements  
Program Performance Justification**

(Dollars in thousands)

#### SUBAPPROPRIATION: VESSELS

	Perm Pos	FTE	Amount
<b>2011 Actual Obligations</b>	...	...	<b>\$1,841,942</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>642,000</b>
2013 Adjustments-to-Base	...	...	...
<b>2013 Current Services</b>	...	...	<b>642,000</b>
2013 Program Change	...	...	237,500
<b>2013 Requested Budget Authority*</b>	...	...	<b>879,500</b>

The Coast Guard request for FY 2013 is \$879.5 million.

\* Excludes proposed cancellation of funds.

#### SUBAPPROPRIATION DESCRIPTION:

##### **Primary operational resource supported: Surface Assets**

The vessel appropriation provides funding to recapitalize and/or improve the Coast Guard's fleet of aging boats and cutters. With many of the Coast Guard's cutters operating at or beyond their planned service life, these recapitalization and sustainment projects are critical to ensuring the continued mission effectiveness and readiness of the Coast Guard's surface fleet. FY 2013 funding initiates the Survey and Design of a new polar icebreaker, supports the Survey and Design of Vessels and Boats, National Security Cutter (NSC), Offshore Patrol Cutter (OPC), Fast Response Cutter (FRC), Cutter Boats, and Medium Endurance Cutter (MEC) Sustainment projects. The Coast Guard's fleet of boats and cutters supported within this program collectively perform all eleven statutory Coast Guard missions in the offshore, coastal and inland areas of responsibility (AOR).

While the Coast Guard is reactivating the icebreaker POLAR STAR in 2013, the anticipated remaining service life of this asset is estimated to be only seven to ten years. To sustain this capacity into the future, this appropriation funds the survey and design activities required to begin acquisition of a new Polar Icebreaker.

The Coast Guard's future fleet of NSCs, OPCs and FRCs will replace the current fleet of High and Medium Endurance Cutters and Island-Class Patrol Boats. These cutters will provide endurance, speed, sea-keeping, surveillance, and persistent presence in the offshore area of responsibility to perform the following Coast Guard missions: Drug and Migrant Interdiction, Living Marine Resources, Defense Readiness, Search and Rescue (SAR), Marine Environmental Protection, and Ports, Waterways, and Coastal Security. The NSCs and OPCs will be able to autonomously support

and deploy aircraft and cutter boats, and possess a highly effective suite of electronics communication and surveillance equipment. NSCs, which have been fielded, are also able to optimally conduct critical law enforcement and SAR missions in the most challenging operational environments (e.g., Bering Sea, Russian-U.S. Maritime Boundary Line, Eastern Pacific, etc.), and overseas DHS missions, including out-of-hemisphere deployments. Furthermore, NSCs have the capacity to perform contingency response operations in all environments, including contaminated areas in the wake of a chemical or biological attack. Cutter boats provide major cutters the capability to deliver boarding teams, stop non-compliant vessels, transfer personnel/cargo, and augment the operations outlined above. The FRC is optimized for similar Coast Guard missions as the NSC and OPC, but at a shorter range within the Coastal and near-Offshore domains, while relying exclusively upon shore-based aircraft as opposed to cutter-borne assets to perform airborne surveillance and tactical support.

In FY 2013, the Coast Guard begins survey and design work for the 175-foot Coastal Buoy Tender (WLM) Mission Effectiveness Project at the Coast Guard YARD. These cutters perform Aids to Navigation work along the coasts, as well as a number of other Coast Guard missions. For example, these versatile cutters contributed to spill recovery efforts associated with the BP Deepwater Horizon Oil Spill. The FY 2013 request also provides funding to complete the Medium Endurance Cutter Sustainment program at the Coast Guard YARD.

Based on a review of asset needs, in FY 2013, the Coast Guard will reduce the scope of the RB-M acquisition, leveraging FY 2012 funding to procure 40 RB-Ms over FY 2012-2013 and closeout the project at a total of 166 boats.

**SUBAPPROPRIATION: AIRCRAFT**

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>\$146,868</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>353,400</b>
2013 Adjustments-to-Base	...	...	...
<b>2013 Current Services</b>	...	...	<b>353,400</b>
2013 Program Change	...	...	-278,900
<b>2013 Requested Budget Authority*</b>	...	...	<b>74,500</b>

The Coast Guard request for FY 2013 is \$74.5 million.

**SUBAPPROPRIATION DESCRIPTION:**

**Primary operational resource supported: Aviation Assets**

The aircraft appropriation provides funding for recapitalization and sustainment of the Coast Guard’s fleet of aging aircraft. It is comprised of new fixed-wing aircraft acquisitions, and rotary wing aircraft sustainment projects.

The Coast Guard’s fleet of fixed and rotary wing aircraft supported within this program collectively performs all 11 statutory Coast Guard missions in the Offshore, Coastal and Inland AORs. The land-based fixed-wing aircraft include the C-130, HU-25 and C-144A aircraft. The C-144A is replacing the HU-25 as the Coast Guard’s primary medium-range fixed-wing aircraft. The Coast Guard’s fleet of C-130Hs and C-130Js provide Long Range Surveillance (LRS) fixed-wing capability. Each of these fixed-wing aircraft enables the Coast Guard to conduct airborne

surveillance, detection, classification and identification of vessels and other aircraft. The LRS program continues efforts to extend the operating life and enhance the capability of the HC-130H fleet by replacing key component Center Wing Boxes (CWBs) and adding new capability (avionics-A1U), permanently defers the second avionics upgrade (A2U), and reduces the scope of the mission systems upgrade in favor of C-130J production. Consolidation of the C-130H and C-130J PPAs into one new LRS Project enables greater flexibility toward achieving an 11H/11J fleet configuration, which is expected to result in increased mission effectiveness and minimizes lifecycle cost. The eventual goal is to transition to an all C-130J fleet by the mid-2020s, when it will no longer be practical or affordable to keep the C-130H in service.

The Coast Guard's fleet of rotary wing aircraft includes the H-60 and H-65 helicopters. The H-60 is a medium-range helicopter, and the H-65 is a short-range helicopter. Both aircraft are deployed from land-based air stations and the H-65 is also deployed routinely aboard the Coast Guard's fleet of NSCs, WHECs, WAGBs, and WMECs. Both aircraft are used to execute the full range of Coast Guard programs including Law Enforcement, Maritime Security, Maritime Response, Defense Operations, and Maritime Transportation System Management. The projects within this program are intended to recapitalize and sustain these aircraft. The Coast Guard intends to leverage FY 2012 funding initially intended for the H-60 Radar Sensor System for sustainment segments now underway, including life-limiting component recapitalization and replacement of obsolete components. These revised plans will focus resources on sustaining existing capacity and capability. As with the conversion of excess Navy H-60 helicopters to replace lost Coast Guard aircraft, and the CBP-CG partnership with land-based UAS, the Coast Guard will continue to explore innovative ways to leverage DoD and other DHS agency partnerships to further recapitalization efforts.

**SUBAPPROPRIATION: OTHER**

	Perm Pos	FTE	Amount
<b>2011 Actual Obligations</b>	...	...	<b>\$197,403</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>161,140</b>
2013 Adjustments-to-Base	...	...	...
<b>2013 Current Services</b>	...	...	<b>161,140</b>
2013 Program Change	...	...	(84,640)
<b>2013 Requested Budget Authority*</b>	...	...	<b>76,500</b>

The Coast Guard request for FY 2013 is \$76.5 million.

**SUBAPPROPRIATION DESCRIPTION:**

**Primary operational resource supported: Command, Control, Communications, Computers and Information Technology (C4IT), Acquisition Management**

The requested funding procures hardware and software, including initial acquisition, development or construction or improvement of any system, software or equipment costing over \$1.0 million per usable segment or item, or \$10.0 million total project cost. In FY 2013, funding will support continued progress on build-out of Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) systems, CG-Logistics Information Management System (CG-LIMS), and Nationwide Automatic Identification System (NAIS). This appropriation

also provides funding for Systems Engineering and Integration (SEI) and Program Oversight and Management (PO&M).

The Coast Guard leverages its C4ISR capability to effectively execute a broad mission set in an immensely challenging operating environment. Assets are able to receive, evaluate and act upon information obtained through the capability provided by the systems supported in this program. The C4ISR project provides standardized capability to major cutters and aircraft, facilitating interoperability and information sharing. NAIS provides the ability to identify and classify vessels operating within the coastal and inland AORs to support maritime domain awareness activities. The eventual full deployment of CG-LIMS will enable the Coast Guard to replace redundant and obsolete logistics and financial systems with one single integrated IT system capable of providing enhanced configuration management, supply support, and improved financial accountability. SEI and PO&M are critical to efficient oversight and execution of the Coast Guard's acquisition programs.

**SUBAPPROPRIATION: SHORE, MILITARY HOUSING AND AIDS TO NAVIGATION (ATON)**

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>\$160,279</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>200,692</b>
2013 Adjustments-to-Base	...	...	...
<b>2013 Current Services</b>	...	...	<b>200,692</b>
2013 Program Change	...	...	(131,281)
<b>2013 Requested Budget Authority*</b>	...	...	<b>69,411</b>

The Coast Guard request for FY 2013 is \$69.4 million.

**SUBAPPROPRIATION DESCRIPTION:**

**Primary operational resource supported: Shore Units, Military Housing and Aids-to-Navigation (ATON)**

The AC&I shore facilities, military housing and ATON appropriation provides funding for the acquisition, construction, rebuilding, and improvement of the Coast Guard's shore facilities, military housing, ATON and related equipment. Shore facilities are critical to supporting all Coast Guard operations, providing support to the Service's myriad operational communities and accommodating the dynamic state of mission needs. Many of the Coast Guard's shore assets are located in harsh coastal environments, requiring a robust recapitalization program. This funding also provides infrastructure upgrades at new cutter homeports and air stations to ensure these facilities are fully ready prior to arrival of new assets. Advance preparation is especially critical in hurricane-prone ports and ports located outside the continental United States, where many of the new assets will be homeported within the next several years.

**SUBAPPROPRIATION: PERSONNEL AND MANAGEMENT**

	Perm		
	Pos	FTE	Amount
<b>2011 Actual Obligations</b>	<b>883</b>	<b>826</b>	<b>\$115,088</b>
<b>2012 Enacted Budget Authority</b>	<b>893</b>	<b>785</b>	<b>110,192</b>
2013 Adjustments-to-Base	...	...	...
<b>2013 Current Services</b>	<b>910</b>	<b>785</b>	<b>110,192</b>
2013 Program Change	(13)	57	7,206
<b>2013 Requested Budget Authority*</b>	<b>880</b>	<b>842</b>	<b>117,398</b>

The Coast Guard request for FY 2013 is \$117.4 million.

**SUBAPPROPRIATION DESCRIPTION:**

**Primary operational resource supported: Personnel to support program management of all acquisitions.**

AC&I has a specific annual appropriation to fund “personnel compensation and benefits and related costs.” The primary activities include project management, financial management, support services, training, and workforce certification. The funding provides the appropriate level of government acquisition professionals to field a workforce with the competencies and capacity to manage acquisitions in accordance with CG and DHS policies, while meeting various requirements established in the Chief Financial Officer Act, Clinger-Cohen Act, DHS certification level requirements and OMB Circular A-76.

**IV. Program Justification of Changes**

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition Construction and Improvements  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Increase:** Acquisition, Construction and Improvements

PPA: Applies to all PPAs

Program Decrease/Increase: Positions (13) FTE 57 Dollars (\$246,659)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level	883	826	2,101,580	893	785	1,463,968	893	785	\$1,463,968
Program Increase/decrease	-	-	-	-	-	-	(13)	57	(246,659)
<b>Total Request</b>	<b>883</b>	<b>826</b>	<b>\$2,101,580</b>	<b>893</b>	<b>785</b>	<b>\$1,463,968</b>	<b>880</b>	<b>842</b>	<b>1,217,309*</b>

\* Excluding cancellation of funds.

Description of Item

Please see the following budget displays for detailed information: Summary of Requirements and Capital Investments and Construction Initiative Listing.



## V. Exhibits and Other Supporting Materials

### A. Justification of Proposed Legislative Language

#### Department of Homeland Security U. S. Coast Guard

#### Justification of Proposed Changes in Acquisition, Construction, and Improvements Appropriation Language

For necessary expenses of acquisition, construction, renovation, and improvement of aids to navigation, shore facilities, vessels, and aircraft, including equipment related thereto; and maintenance, rehabilitation, lease and operation of facilities and equipment; as authorized by law; [\$1,403,924,000]\$1,217,309,000, of which \$20,000,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); [of which \$20,000,000 shall remain available until September 30, 2016, for military family housing, of which not more than \$14,000,000 shall be derived from the Coast Guard Housing Fund, established pursuant to 14 U.S.C. 687;] of which [\$642,000,000]\$879,500,000 shall be available until September 30, [2016]2017, to acquire, effect major repairs to, renovate, or improve vessels, small boats, and related equipment; of which [\$289,900,000]\$74,500,000 shall be available until September 30, [2016]2017, to acquire, effect major repairs to, renovate, or improve aircraft or increase aviation capability; of which [\$161,140,000]\$76,500,000 shall be available until September 30, [2016]2017, for other acquisition programs; of which [\$180,692,000]\$69,411,000 shall be available until September 30, [2016]2017, for shore facilities and aids to navigation, including waterfront facilities at Navy installations used by the Coast Guard; of which [\$110,192,000]\$117,398,000 shall be available for personnel compensation and benefits and related costs: Provided, That of the unobligated balances made available under this heading for the Integrated Deepwater Systems program (surface ships) by Public Law 111-83, \$25,000,000 are hereby permanently cancelled[the funds provided by this Act shall be immediately available and allotted to contract for long lead time materials, components, and designs for the sixth National Security Cutter notwithstanding the availability of funds for production costs or post-production costs: Provided further, That the Secretary of Homeland Security shall submit to the Committees on Appropriations of the Senate and the House of Representatives, at the time that the President's budget is submitted each year under section 1105(a) of title 31, United States Code, a future-years capital investment plan for the Coast Guard that identifies for each requested capital asset\_] [(1) the proposed appropriations included in that budget;] [(2) the total estimated cost of completion, including and clearly delineating the costs of associated major acquisition systems infrastructure and transition to operations;] [(3) projected funding levels for each fiscal year for the next 5 fiscal years or until acquisition program baseline or project completion, whichever is earlier;] [(4) an estimated completion date at the projected funding levels; and] [(5) a current acquisition program baseline for each capital asset, as applicable, that\_] [(A) includes the total acquisition cost of each asset, subdivided by fiscal year and including a detailed description of the purpose of the proposed funding levels for each fiscal year, including for each fiscal year funds

requested for design, pre-acquisition activities, production, structural modifications, missionization, post-delivery, and transition to operations costs;] [(B) includes a detailed project schedule through completion, subdivided by fiscal year, that details\_] [(i) quantities planned for each fiscal year; and] [(ii) major acquisition and project events, including development of operational requirements, contracting actions, design reviews, production, delivery, test and evaluation, and transition to operations, including necessary training, shore infrastructure, and logistics;] [(C) notes and explains any deviations in cost, performance parameters, schedule, or estimated date of completion from the original acquisition program baseline and the most recent baseline approved by the Department of Homeland Security's Acquisition Review Board, if applicable;] [(D) aligns the acquisition of each asset to mission requirements by defining existing capabilities of comparable legacy assets, identifying known capability gaps between such existing capabilities and stated mission requirements, and explaining how the acquisition of each asset will address such known capability gaps;] [(E) defines life-cycle costs for each asset and the date of the estimate on which such costs are based, including all associated costs of major acquisitions systems infrastructure and transition to operations, delineated by purpose and fiscal year for the projected service life of the asset;] [(F) includes the earned value management system summary schedule performance index and cost performance index for each asset, if applicable; and] [(G) includes a phase-out and decommissioning schedule delineated by fiscal year for each existing legacy asset that each asset is intended to replace or recapitalize:] [Provided further, That the Secretary of Homeland Security shall ensure that amounts specified in the future-years capital investment plan are consistent, to the maximum extent practicable, with proposed appropriations necessary to support the programs, projects, and activities of the Coast Guard in the President's budget as submitted under section 1105(a) of title 31, United States Code, for that fiscal year: Provided further, That any inconsistencies between the capital investment plan and proposed appropriations shall be identified and justified: Provided further, That subsections (a) and (b) of section 6402 of Public Law 110-28 shall apply with respect to the amounts made available under this heading].(*Department of Homeland Security Appropriations Act, 2012.*)

**Explanation of Changes:**

Proposed language would extend the period of availability of funds previously appropriated in FY 2010 for post-delivery activities of the fourth National Security Cutter (NSC-4). Under the current production schedule for NSC-4, these funds are projected to expire prior to obligation.

**B. FY 2012 to FY 2013 Budget**

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition Construction and Improvements  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	883	826	<b>2,010,580</b>
<b>FY 2012 Enacted Budget Authority</b>	893	785	<b>1,463,968</b>
<b>FY 2013 Current Services</b>	<b>893</b>	<b>785</b>	<b>1,463,968</b>
<b>Program Changes</b>			
Vessels	-	-	237,500
Aircraft	-	-	(278,900)
Other	-	-	(84,640)
Shore and Aids to Navigation	-	-	(131,281)
Personnel and Management	(13)	57	7,206
Recission			(21,544)
<b>Total Program Changes</b>	<b>(13)</b>	<b>57</b>	<b>(271,659)</b>
<b>FY 2013 Requested Budget Authority*</b>	<b>880</b>	<b>842</b>	<b>1,192,309</b>
<b>2012 to 2013 Total Change</b>	<b>(13)</b>	<b>57</b>	<b>(271,659)</b>

\*Note: Includes cancellation and reappropriation of \$25 million, appropriated under the Department of Homeland Security Appropriations Act, 2010 (Public Law 111-83) for NSC #4 post-delivery activity. Reappropriated funds will be used for the same purpose.

**C. Summary of Requirements**

**FY 2013-2017 Five Year Capital Investment Plan (CIP)  
Acquisition, Construction & Improvements**

The Capital Investment Plan projects Coast Guard's acquisition priorities for the next five years assuming the limits of budgetary growth set by the Budget Control Act of 2011, P.L. 112-25. It does not reflect the impact of the Department of Defense's *Strategy, Sustaining Global Leadership: Priorities for 21st Century Defense*, which may affect operational planning at the Department of Homeland Security (DHS). DHS will continue to evaluate Departmental acquisition priorities in the context of Homeland Security and National Security policies, including Coast Guard's statutory missions defined under 14 U.S. Code § 1, 2, 89 and 141.

(Thousands of dollars, budget year dollars)	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2014	FY 2015	FY 2016	FY 2017	Total Acquisition Cost <sup>(1)</sup>	Estimated Completion Date <sup>(1)</sup>
<b>Vessels</b>	<b>\$642,000</b>	<b>\$879,500</b>	<b>\$598,500</b>	<b>\$845,000</b>	<b>\$917,000</b>	<b>\$1,039,000</b>	<b>\$1,039,000</b>	
Survey and Design - Vessel and Boats	\$6,000	\$2,500	\$500	\$1,000	\$3,000	\$3,000	Not Applicable	Not Applicable
In-Service Vessel Sustainment	\$14,000	\$0	\$64,000	\$60,000	\$80,000	\$0	Not Applicable	Not Applicable
Response Boat - Medium (RB-M)	\$110,000	\$0	\$0	\$0	\$0	\$0	\$610,000	2016
National Security Cutter (NSC)	\$77,000	\$683,000	\$0	\$0	\$0	\$0	\$4,749,000	2018
Offshore Patrol Cutter (OPC)	\$25,000	\$30,000	\$50,000	\$40,000	\$200,000	\$530,000	\$8,098,000	2031
Fast Response Cutter (FRC)	\$358,000	\$139,000	\$360,000	\$360,000	\$360,000	\$360,000	\$3,928,000	2022
Cutter Boats	\$5,000	\$4,000	\$4,000	\$4,000	\$4,000	\$4,000	\$110,100	2026
Medium Endurance Cutter Sustainment	\$47,000	\$13,000	\$0	\$0	\$0	\$0	\$296,800	2017
Polar Icebreaker (2)	\$0	\$8,000	\$120,000	\$380,000	\$270,000	\$82,000	TBD	TBD
<b>Aircraft</b>	<b>\$289,900</b>	<b>\$74,500</b>	<b>\$471,000</b>	<b>\$451,000</b>	<b>\$361,000</b>	<b>\$342,700</b>		
CGNR 6017 Airframe Replacement	\$18,300	\$0	\$0	\$0	\$0	\$0	\$18,300	2013
Maritime Patrol Aircraft (MPA)	\$129,500	\$43,000	\$220,000	\$220,000	\$220,000	\$220,000	\$2,222,600	2020
HH-60 Conversion Projects	\$56,100	\$0	\$0	\$0	\$0	\$1,700	\$451,000	2020
HH-65 Conversion/Sustainment Projects	\$24,000	\$31,500	\$45,000	\$45,000	\$45,000	\$25,000	\$1,150,400	2020
Long Range Surveillance Aircraft (C-130H/J) <sup>(3)</sup>	\$62,000	\$0	\$200,000	\$180,000	\$90,000	\$90,000	TBD	TBD
Unmanned Aircraft System (UAS)	\$0	\$0	\$6,000	\$6,000	\$6,000	\$6,000	TBD	TBD
<b>Other</b>	<b>\$161,140</b>	<b>\$76,500</b>	<b>\$96,000</b>	<b>\$83,000</b>	<b>\$83,000</b>	<b>\$90,500</b>		
Program Oversight and Management <sup>(4)</sup>	\$26,000	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	\$1,518,000	2031
Systems Engineering and Integration	\$17,140	\$2,500	\$15,000	\$15,000	\$15,000	\$15,000	\$1,118,100	2031
C4ISR	\$38,500	\$40,500	\$40,500	\$40,500	\$40,500	\$40,500	\$2,335,000	2025
CG-LIMS	\$6,500	\$2,500	\$2,500	\$2,500	\$2,500	\$10,000	Not Applicable	Not Applicable
Nationwide Automatic Identification System (NAIS)	\$5,000	\$6,000	\$13,000	\$0	\$0	\$0	\$276,800	2014
Rescue 21	\$65,000	\$0	\$0	\$0	\$0	\$0	\$1,066,200	2017
Interagency Operations Centers (IOCs)	\$3,000	\$0	\$0	\$0	\$0	\$0	\$74,000	2015
<b>Shore and ATON</b>	<b>\$200,692</b>	<b>\$69,411</b>	<b>\$145,000</b>	<b>\$120,000</b>	<b>\$160,000</b>	<b>\$125,000</b>		
Major Shore, Military Housing, ATON and S&D	\$112,900	\$15,000	\$70,000	\$50,000	\$80,000	\$60,000	Not Applicable	Not Applicable
Major Acquisition Systems Infrastructure	\$81,500	\$49,411	\$70,000	\$65,000	\$75,000	\$60,000	Not Applicable	Not Applicable
Minor Shore	\$6,292	\$5,000	\$5,000	\$5,000	\$5,000	\$5,000	Not Applicable	Not Applicable
<b>Personnel and Management</b>	<b>\$110,192</b>	<b>\$117,398</b>	<b>\$118,985</b>	<b>\$120,880</b>	<b>\$122,804</b>	<b>\$124,759</b>		
AC&I Core	\$600	\$600	\$600	\$600	\$600	\$600	Not Applicable	Not Applicable
Direct Personnel Costs	\$109,592	\$116,798	\$118,385	\$120,280	\$122,204	\$124,159	Not Applicable	Not Applicable
<b>TOTAL</b>	<b>\$1,403,924</b>	<b>\$1,217,309</b>	<b>\$1,429,485</b>	<b>\$1,619,880</b>	<b>\$1,643,804</b>	<b>\$1,721,959</b>		
	(Note 5)	(Note 6)	(Note 6)	(Note 6)	(Note 6)	(Note 6)		
		(Note 7)						

Note (1): Total project costs and estimated completion date are based on individual project DHS Acquisition Program Baselines (APBs) when available, or the 2007 Integrated Deepwater System APB.

Note (2): Estimates for Polar Icebreaker are based on the October 2011 R&D Center Comprehensive Analysis on U.S. Polar Icebreaker Recapitalization as directed by P.L. 111-281.

Note (3): The former C-130H Sustainment and the C-130J Introduction projects were combined under the Consolidated Appropriations Act, 2012, P.L. 112-74.

Note (4): Previously Titled Government Program Management project renamed in the Consolidated Appropriations Act, 2012, P.L. 112-74.

Note (5): The Coast Guard also received an additional \$63.5M transfer in the Consolidated Appropriations Act, 2012, (P.L. 112-74), from the Air Force Aircraft Procurement appropriation for procurement of a C-130J aircraft.

Note (6): Proposed cancellation of \$25 million appropriated under of the Department of Homeland Security Appropriations Act, 2010 (P.L. 111-83) for NSC #4 post-delivery activity. The table reflects the proposed re-appropriation of these funds for the same purpose within the amount shown for the NSC project above.

Note (7): Pursuant to P.L. 112-74, includes \$3.5 million in rescission of prior year unobligated balances.

**D. Summary of Reimbursable Resources**

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<b>Collections by Source</b>	-	-	206	-	-	-	-	-	-
Department of Army	-	-	206	-	-	-	-	-	-
Department of Navy	-	-	158,255	-	-	59,574	-	-	(59,574)
Cal Transportation (CALTRANS) YBI Project	-	-	2,200	-	-	-	-	-	-
Other Anticipated Reimbursables, General	-	-	20	-	-	-	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>160,681</b>	-	-	<b>59,574</b>	-	-	<b>(59,574)</b>

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase/Decrease		
	Pos.	FTE	Amount	Pos.	FTE	Amount	Pos.	FTE	Amount
<b>Obligations by Program/Project Activity</b>	-	-	-	-	-	-	-	-	-
Army - Defense Energy Support Center (DESC)	-	-	206	-	-	-	-	-	-
Navy - SSBN - 87 Coastal Patrol Boat (CPB)	-	-	50	-	-	-	-	-	-
Navy - CASA CN-235 Aircraft for Mexico	-	-	117,496	-	-	33,716	-	-	(33,716)
Navy - 42 Foot Arch Angel Lifeboats for Chile	-	-	22,540	-	-	22,540	-	-	(22,540)
Navy - 25 foot Defender Class and 42 foot Arch Angel boats Tunisia	-	-	5,913	-	-	-	-	-	-
Navy - Aircraft for Columbia	-	-	3,240	-	-	342	-	-	(342)
Navy - SAR Helicopter (refurbish) for Malta	-	-	2,976	-	-	2,976	-	-	(2,976)
Navy - 25 foot Defender Class (1206 CASE) and 42 foot Arch Angel boats Tunisia	-	-	6,040	-	-	-	-	-	-
Cal Transportation (CALTRANS) YBI Project	-	-	2,200	-	-	-	-	-	-
Other Anticipated Reimbursables, General	-	-	20	-	-	-	-	-	-
<b>Total Obligations</b>	-	-	<b>160,681</b>	-	-	<b>59,574</b>	-	-	<b>(59,574)</b>

## E. Summary of Requirements by Object Class

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1	Full-time permanent	43,093	43,846	46,289	2,443
11.3	Other than full-time permanent	524	533	563	30
11.5	Other personnel compensation	1,215	1,236	1,305	69
11.6	Military personnel (Basic Allowance for Housing)	10,731	11,899	12,618	719
11.7	Military personnel	27,618	28,625	30,354	1,729
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	11,778	11,984	12,652	668
12.2	Military personnel benefits	3,312	3,719	3,942	223
13.0	Benefits-former	187	190	199	9
<b>Total, Personnel Comp. &amp; Benefits</b>		<b>\$ 98,458</b>	<b>\$ 102,032</b>	<b>\$ 107,922</b>	<b>\$ 5,890</b>
Other Objects Classes:					
21.0	Travel	11,202	10,825	11,585	760
22.0	Transportation of things	1,897	580	332	(248)
23.1	GSA rent	-	-	-	-
23.2	Other rent	1,753	537	307	(230)
23.3	Communication, utilities, and misc charges	664	201	115	(86)
24.0	Printing and reproduction	9	-	-	-
25.1	Advisory and assistance services	146,979	96,662	93,077	(3,585)
25.2	Other services	166,840	110,129	106,177	(3,952)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	1,167	354	202	(152)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	5	-	-	-
26.0	Supplies and materials	103,675	68,649	66,258	(2,391)
31.0	Equipment	1,395,496	944,019	917,818	(26,201)
32.0	Land and structures	173,433	119,554	116,963	(2,591)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	2	-	-	-
<b>Total Direct Obligations</b>		<b>\$ 2,101,580</b>	<b>\$ 1,453,542</b>	<b>\$ 1,420,756</b>	<b>\$ (32,786)</b>

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements - Military  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	2	2	2	-
O-7	-	-	-	-
O-6	19	18	18	-
O-5	40	45	44	(1)
O-4	86	83	80	(3)
O-3	76	99	99	-
O-2	2	5	5	-
O-1	-	-	-	-
CWO	57	61	61	-
Cadet/OC	-	-	-	-
E-10	-	-	-	-
E-9	5	4	4	-
E-8	9	11	11	-
E-7	47	52	51	(1)
E-6	27	25	24	(1)
E-5	5	9	9	-
E-4	5	5	5	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>380</b>	<b>419</b>	<b>413</b>	<b>(6)</b>
Unfilled Positions EOY	8	9	9	-
Total Perm. Employment EOY	372	410	404	(6)
<b>FTE*</b>	<b>409</b>	<b>385</b>	<b>413</b>	<b>28</b>
Headquarters	177	222	219	(3)
U.S. Field	203	197	194	(3)
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>380</b>	<b>419</b>	<b>413</b>	<b>(6)</b>
Position Data:				
<b>Average Salary, Officer Positions**</b>	<b>\$ 101,867</b>	<b>\$ 117,242</b>	<b>\$ 117,489</b>	<b>\$ 247</b>
<b>Average Grade, Officer Positions</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>-</b>
<b>Average Salary, Enlisted Positions**</b>	<b>\$ 80,205</b>	<b>\$ 80,603</b>	<b>\$ 78,323</b>	<b>\$ (2,280)</b>
<b>Average Grade, Enlisted Positions</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>-</b>

\*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

\*\*The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	3	-	-	-
Total, EX	-	-	-	-
GS-15	43	31	39	8
GS-14	123	127	116	(11)
GS-13	179	221	218	(3)
GS-12	48	56	55	(1)
GS-11	13	14	14	-
GS-10	-	2	2	-
GS-9	4	4	4	-
GS-8	6	9	9	-
GS-7	4	4	4	-
GS-6	2	4	4	-
GS-5	2	2	2	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	76	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>503</b>	<b>474</b>	<b>467</b>	<b>(7)</b>
Unfilled Positions EOY	83	78	77	(1)
Total Perm. Employment (Filled Positions) EOY	420	396	390	(6)
<b>FTE</b>	<b>417</b>	<b>400</b>	<b>429</b>	<b>29</b>
				-
Headquarters	329	310	305	(5)
U.S. Field	174	164	162	(2)
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>503</b>	<b>474</b>	<b>467</b>	<b>(7)</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b>	\$ 210,700	\$ -	\$ -	\$ -
<b>Average Personnel Costs, GS Positions</b>	\$ 134,216	\$ 141,061	\$ 142,397	\$ 1,336
<b>Average Grade, GS Positions</b>	13	13	13	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.



## G. Capital Investment and Construction Initiative Listing (excluding cancellation of funds)

### Department of Homeland Security U. S. Coast Guard Acquisition, Construction and Improvements (Dollars in thousands)

Capital Investment Project	Congressional Request
<b>I. Vessels &amp; Critical Infrastructure</b>	
1. Survey and Design - Vessels and Boats	2,500
2. National Security Cutter (NSC)	683,000
3. Offshore Patrol Cutter (OPC)	30,000
4. Fast Response Cutter (FRC)	139,000
5. Cutter Boats	4,000
6. Medium Endurance Cutter Sustainment (MEP)	13,000
7. Polar Icebreaker	8,000
<b>Subtotal - Vessels.....</b>	<b>879,500</b>
<b>II. Aircraft</b>	
1. Maritime Patrol Aircraft (MPA) HC-144	43,000
2. HH-65 Conversion and Sustainment Project	31,500
<b>Subtotal - Aircraft.....</b>	<b>74,500</b>
<b>III. Other</b>	
1. Program Oversight and Management	25,000
2. System Engineering and Integration (SEI)	2,500
3. C4ISR	40,500
4. CG Logistics Information Management System (CG-LIMS)	2,500
5. Nationwide Automatic Identification System (NAIS)	6,000
<b>Subtotal - Other.....</b>	<b>76,500</b>
<b>IV. Shore &amp; Aids to Navigation</b>	
1. Air Station Barber's Point Rinse Rack	5,000
2. Cold Bay Hangar	5,000
3. Sitkinak, AK Refueling Site Recapitalization	1,100
4. Station New York Boat Ramp	1,900
5. Shore Infrastructure Survey and Design	1,000
6. Shore AC&I Waterways ATON Infrastructure	1,000
7. Major Acquisition Systems Infrastructure	49,411
8. Minor AC&I Shore Construction Projects	5,000
<b>Subtotal - Shore &amp; Aids to Navigation.....</b>	<b>69,411</b>
<b>VI. Personnel and Management</b>	
1. AC&I Core	600
2. Direct Personnel Costs	116,798
<b>Subtotal - Personnel and Management.....</b>	<b>117,398</b>
<b>Summary Capital Investments</b>	
<b>Total Non-IT Initiatives (all projects over \$5 million).....</b>	<b>1,168,309</b>
<b>Total IT Initiatives.....</b>	<b>49,000</b>
<b>Total FY 2013 Congressional Request:</b>	<b>1,217,309</b>

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Survey and Design - Vessels and Boats** **\$2,500**

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**Project Description, Justification and Scope**

This project builds upon a \$4 million congressionally approved transfer in FY 2011 for the survey and design of a Service Life Extension Project on the 140-foot Icebreaking Tug (WTGB) fleet and appropriation of \$6 million in FY 2012 for the survey and design of a Mission Effectiveness Project (MEP) on the 225-foot Sea Going Buoy Tender (WLB) fleet.

FY 2013 funding will initiate survey and design work for a Mission Effectiveness Project (MEP) on the fourteen-ship 175-foot Coastal Buoy Tender (WLM) fleet. The 175-foot WLM fleet was built from 1996-2000, with the oldest cutters approaching their mid-life. Similar to the strategy for MEP on the 110-foot Patrol Boats and Medium Endurance Cutters, the goal will be to run three SLEP and mid-life availability projects at the Coast Guard YARD in parallel with each other, the 140-foot WTGB, 225-foot WLB and 175-foot WLM. This will optimize YARD loading, minimizing costs, and allow maximum flexibility for operational planners, by minimizing the number of cutters that are removed from service from a single cutter class as they undergo SLEP/mid-life availabilities at the YARD. In order to perform these projects most efficiently, the Coast Guard must complete the requisite engineering and survey work prior to construction.

This request provides ongoing funding to support multi-year engineering survey and design efforts in support of the 175-foot WLM mid-life availability. As these vessels continue to age, project funding is required to conduct detailed condition surveys of the hull, along with engineering design work that will be used to plan the project. Examples of the work to be performed under this project include: detailed survey and assessment of the material condition of the current fleet on hull, mechanical and engineering systems and subsystems, study and analysis of engineering systems and components to evaluate suitability for use in sustainment projects, and the development of pre-acquisition documentation to enable projects to reach initial program approval in accordance with the Coast Guard's Major Systems Acquisition Manual.

Early planning, requirements development, and cost estimating in support of sustainment projects are critical to exercising good governance, planning, and acquisition oversight to make the best use of limited resources while minimizing impact to the operational fleet.

**Significant Changes**

No significant changes.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Survey and Design - Vessels and Boats**

**\$2,500**

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
225' WLB Mid-Life S&D	FY12:Q1	FY14:Q4			6,000
<hr/>					
FY 2013					
175' WLM Mid-Life S&D	FY13:Q1	FY15:Q4			2,500

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	7,449		6,000	2,500	15,949
Obligation	7,449		6,000	2,500	15,949
Expenditure	7,449		6,000	2,500	15,949
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Survey, Design & Engineering	7,449		6,000	2,500	15,949

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
Survey, Design & Engineering	
Engineering survey and design/Prototype Acquisition	2,500
<b>FY 2013 Cost Estimate Project Total:</b>	<b>2,500</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	194	19
Marine Safety	32	5
Aids to Navigation	1,840	2,099
Ice Operations	233	29
Marine Environmental Protection	26	10
Living Marine Resources	970	-
Drug Interdiction	1,136	-
Migrant Interdiction	269	38
Other Law Enforcement	301	-
Ports, Waterways & Coastal Security	493	262
Defense Readiness	506	38
<b>Mission-Program Allocation Total:</b>	<b>6,000</b>	<b>2,500</b>

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Survey and Design - Vessels and Boats**

**\$2,500**

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**National Security Cutter (NSC)**

**\$683,000**

**Project Description, Justification and Scope**

This request provides \$658 million for Segment 2 of Long Lead Time Materials (LLTM), production and post-production activities to fully fund the sixth NSC. Additionally, \$25 million appropriated in FY 2010 for post-production activities for NSC #4, likely to expire, are cancelled and re-appropriated in 2013.

These Legend Class Cutters are replacing the legacy High Endurance Cutters (HEC), built between 1967 and 1972. HECs are currently operating beyond their economic service life and experiencing decreased operational availability and increased maintenance costs. The NSC provides enhanced capability, essential for performing long range missions in today's high-threat environment.



The NSC is capable of extended on-scene presence, operating in the harshest maritime environments, long transits and out-of-hemisphere deployments. It is equipped with modern communication, navigation and surveillance systems that allow the cutter and its deployed air and organic boat assets to operate worldwide and conduct a daily search of up to 56,000 square miles throughout the maritime domain. The NSC enables the Coast Guard to serve as a leader in maritime incident response, and is designed to operate in every ocean and all environments.

The NSC conducts patrols on the high seas and coastal approaches employing a robust command and control capability for the task unit commander or on-scene commander. It is capable of performing all maritime DHS missions including overseas operations with the U.S. Navy and partner nations. When engaged in these missions, the NSC is capable of detecting, classifying, and tracking surface Targets of Interest (TOI) in sizes ranging from makeshift rafts to large commercial vessels, and air TOIs as small as single-engine civil aircraft.

Leveraging updated technology that was not available 40 years ago, the NSC possesses improved capabilities over the legacy 378' High Endurance Cutter. The NSC also meets modern environmental requirements that were not in place the when the HECs were designed. It has a range of approximately 12,000 nautical miles (nm) and an underway endurance of 60 days. The cutter is capable of patrolling alone or with multiple U.S. Coast Guard vessels, U.S. Navy vessels, or vessels from other nations' navies or coast guards.

Once each NSC is completely outfitted it will have the capability to:

- Provide anti-terrorism/force protection;
- Carry and deploy aircraft and unmanned aerial vehicles (UAV);

*U. S. Coast Guard - FY 2013 Congressional Justification*

**National Security Cutter (NSC)**

**\$683,000**

- Carry and deploy multiple small boats (e.g., Cutter Boat Over the Horizon (CB-OTH) and Cutter Boat Long Range Interceptor (CB-LRI));
- Conduct boat and flight operations safely and efficiently in up to Sea State 5 (wave heights of 8-12 feet and wind 21- 25 knots);
- Support intelligence operations through greatly improved intelligence gathering and Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) capabilities, including use of a Sensitive Compartmented Information Facility (SCIF), all of which enhance the NSC’s self-defense capabilities and facilitate seamless operations with networked DHS, DoD, and national assets;
- Maintain presence and perform command and control operations in Chemical, Biological, or Radiological contaminated environments for up to 36 hours;
- Operate with U.S. Navy Battle Groups with a maximum sustained speed of 28 knots.

**FUNDING HISTORY**

<i><b>FY</b></i>	<i><b>\$K</b></i>	<i><b>Major Activity Funded by Net Appropriation</b></i>
2002	\$7,869	Conceptual Development/Design
2003	\$136,937	Detailed Design and NSC #1 LLTM
2004	\$204,093	NSC #1 Production
2005	\$264,100	NSC #2 Production and LLTM
2006	\$489,054	NSC #3 Production and LLTM
2007 <sup>1</sup>	\$386,299	Consolidated Contracting Action NSC #1-3
	\$24,100	NSC #4 LLTM
2008 <sup>2</sup>	\$72,500	NSC #4 LLTM
	\$93,470	NSC #3-4 Govt Furnished Equip, Certifications, & Logistics
2009 <sup>3</sup>	\$159,100	NSC #1-3 Completion
	\$196,900	NSC #4 Production
	\$7,100	NSC #1-2 Structural Retrofit Planning/Analysis
2010 <sup>4</sup>	\$384,480	NSC #4 Production
	\$5,000	NSC #5 LLTM
2011	\$690,616	NSC #5 Production
2012	\$77,000	NSC #6 Segment 1 LLTM
<b>Total</b>	<b>\$3,198,618</b>	<b>Funding received for FY 2002 through FY 2012</b>

**CONTRACTOR:**

Huntington Ingalls Industries, Pascagoula, MS  
 Type of Contract: Fixed Price Incentive (Firm Target)

**SUBCONTRACTORS:**

Note: The FY 2013 requested amount excludes cancellation of prior year funds.

<sup>1</sup> Funding History for FY 2007 reflects changes from the Consolidated Contracting Action.

<sup>2</sup> Funding History for FY 2008 reflects changes from the Consolidated Contracting Action.

<sup>3</sup> Funding History for FY 2009 reflects \$9.4M included for, “necessary expenses related to the consequences of 2008 natural disasters,” per P.L. 110-329.

<sup>4</sup> FY 2010 appropriations included \$108M for NSC-5 LLTM. \$103M was used to fund completion of NSC #4.

Note: The FY 2013 requested amount excludes cancellation of funds.

U. S. Coast Guard - FY 2013 Congressional Justification

**National Security Cutter (NSC)**

**\$683,000**

Lockheed Martin Company (LMCO), Moorestown, NJ

**FY 2011 Key Events:**

- Delivered NSC #3, USCGC STRATTON (WMSL-752)
- NSC #2 Final Acceptance / SCIF Install
- Started Pre-Fabrication NSC #4
- Awarded LLTM and Production contract for NSC #5

**FY 2012 Planned Key Events:**

- NSC #4 Keel Laying
- NSC #3 Commissioning
- NSC #3 Final Acceptance
- Award Segment 1 LLTM contract for NSC #6

**FY 2013 Planned Key Events:**

- NSC #4 Christening – Launch
- NSC #5 Keel Laying
- Award Segment 2 LLTM and Production contract for NSC #6

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
NSC #6 Segment 1 Long Lead Time Materials	FY02:Q4	FY04:Q1	FY12:Q2	FY15:Q4	77,000
FY 2013					
NSC #6 Segment 2 Long Lead Time Materials	FY02:Q4	FY04:Q1	FY13:Q1	FY16:Q4	29,000
NSC #6 Production Contract	FY02:Q4	FY04:Q1	FY13:Q2	FY16:Q4	557,000
NSC #6 Post Delivery Activities	FY02:Q4	FY04:Q1	FY13:Q2	FY17:Q4	72,000
NSC #4 Post Delivery Activities	FY02:Q4	FY04:Q1	FY13:Q1	FY17:Q4	25,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	2,431,002	690,616	77,000	683,000	3,881,618
Obligation	1,716,590	1,124,114	216,690	542,205	3,599,599
Expenditure	1,550,401	237,689	378,358	399,673	2,566,121
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	1,446,330	237,689	378,358	399,673	2,462,050
Survey, Design & Engineering	104,071				104,071

Note: The FY 2013 requested amount excludes cancellation of prior year funds.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**National Security Cutter (NSC)**

**\$683,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
NSC #6 Long Lead Time Materials	29,000
NSC #6 Production Contract	557,000
NSC #6 Post Delivery Activities	72,000
NSC #4 Post Delivery Activities	25,000
<b>FY 2013 Cost Estimate Project Total:</b>	<b>683,000</b>

Note: The FY 2013 requested amount excludes cancellation of prior year funds.

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	3,313	29,386
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	17,669	156,726
Drug Interdiction	33,632	298,311
Migrant Interdiction	4,619	53,429
Other Law Enforcement	6,024	40,962
Ports, Waterways & Coastal Security	2,005	17,810
Defense Readiness	9,738	86,376
<b>Mission-Program Allocation Total:</b>	<b>77,000</b>	<b>683,000</b>

Note: The FY 2013 requested amount excludes cancellation of prior year funds.

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).



**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Offshore Patrol Cutter (OPC)**

**\$30,000**

**Project Description, Justification and Scope**

This funding will continue pre-acquisition design work for the Offshore Patrol Cutter (OPC) class, intended to replace the Coast Guard's fleet of Medium Endurance Cutters (MEC). The acquisition strategy for this program awards Preliminary & Contract Designs (P&CDs) to up to three competing contractors. From the P&CD efforts, one design will be chosen for Detailed Design development and ship construction. FY 2013 funding will facilitate P&CD evaluations, prepare the Request for Proposal (RFP) for the Detailed Design and Construction contract award, and provide support for the OPC Project Office technical and project staff, OPC Ship Design Team, Technical Authorities, C4ISR production, completing various trade-off studies and requirements validations, life-cycle cost estimating, logistics and training studies.

The OPC will primarily resolve current gaps in capabilities and capacity stemming from the aging 270' and 210' MECs that are experiencing decreased reliability and increased maintenance costs. Together, the OPCs and NSCs will recapitalize the Coast Guard's major cutter fleet. The OPC will possess the endurance, sea-keeping, and persistent presence to complete missions at the outer extent of the Exclusive Economic Zone (EEZ) and coastal approaches and will be designed to conduct assigned missions through a full-spectrum of climate and environmental conditions including the ability to launch and recover boats and aircraft in up to Sea State 5.

The OPC will be deployed as part of a layered security strategy that gives the Coast Guard and its law enforcement and military partners time to react to emerging maritime threats. Advanced communications capabilities will facilitate interoperability with DHS, State and local responders as well as DoD and international partners. Updated command and control systems that were not available 40 years ago when the current MECs were designed will aid in the detection, classification, and identification of targets of interest (TOIs), while the use of well-equipped deployed aircraft and small boats coupled with adequate cutter speed will provide the requisite capacity to intercept and prosecute TOIs.

**FY 2011 Key Events:**

- Released draft specification
- Received and evaluated Industry comments

**FY 2012 Planned Key Events:**

- Modified specifications and RFP
- Release of P&CD RFP

**FY 2013 Planned Key Events:**

- Award of three P&CD contracts

**FUNDING HISTORY**

<i>FY</i>	<i>\$K</i>	<i>Major Activity Funded by Net Appropriation</i>
2004	\$15,558	Preliminary Alternative and Requirement Development
2005	\$1,788	Requirement and Concept Refinement

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Offshore Patrol Cutter (OPC)** **\$30,000**

2006	\$10,039	Continuing Design Development
2009	\$3,003	Requirements Analysis, Initial Concept/Preliminary Design
2010	\$9,800	Milestone 2 Preparation & Completion; P&CD RFP preparation
2011	\$44,910	Support award and evaluation of Preliminary & Contract Designs
2012	\$25,000	Support award and evaluation of Preliminary & Contract Designs
<b>Total</b>	<b>\$110,098</b>	<b>Funding received for FY 2004 through FY 2012</b>

**CONTRACTOR:**

Design and production contracts not yet awarded.

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
<b>FY 2012</b>					
Technical and Project Management			FY12:Q1	FY12:Q4	9,200
Ship Design Manager Support			FY12:Q1	FY12:Q4	7,200
Preliminary & Contract Support	FY12:Q1	FY14:Q4			8,600
<b>FY 2013</b>					
Technical and Project Management			FY13:Q1	FY13:Q4	14,800
Preliminary & Contract Design	FY13:Q1	FY13:Q4			15,200

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	40,189	44,910	25,000	30,000	140,099
Obligation	36,867	9,396	14,707	40,511	101,481
Expenditure	35,191	4,114	13,713	19,504	72,522
<b><u>Breakdown of Project Expenditures</u></b>					
Survey, Design & Engineering	35,191		8,405	14,222	57,818
Project Management		4,114	5,308	5,282	14,704

U. S. Coast Guard - FY 2013 Congressional Justification

**Offshore Patrol Cutter (OPC)**

**\$30,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Technical and Project Management	14,800
Preliminary & Contract Design	15,200
<b>FY 2013 Cost Estimate Project Total:</b>	<b>30,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	430	517
Marine Safety	12	14
Aids to Navigation	5	6
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	5,397	6,469
Drug Interdiction	9,880	11,905
Migrant Interdiction	7,023	8,370
Other Law Enforcement	23	28
Ports, Waterways & Coastal Security	1,002	1,212
Defense Readiness	1,228	1,479
<b>Mission-Program Allocation Total:</b>	<b>25,000</b>	<b>30,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Fast Response Cutter (FRC)**

**\$139,000**

**Project Description, Justification and Scope**

This request funds production of FRC hulls #19 – 20, associated contract line items, and project management costs. Hulls #17 - 20 will be procured in FY 2013 using FY 2012 and FY 2013 funds. Specifically, the Coast Guard will procure four FRCs in FY 2012 (two less than funded in the FY 2012 enacted) and carry forward \$95 million from FY 2012, combining these funds with the FY 2013 request to procure a total of four FRCs in FY 2013. This plan will allow the Coast Guard to procure FRCs under the current contract terms and conditions, maintaining the same steady production rate as the previous year. Continued acquisition of FRCs is critical to closing the existing patrol boat operational hour gap, and to replace the aging 110' patrol boat fleet.



The planned fleet of FRCs will conduct primarily the same missions as the 110' patrol boats being replaced. In addition, the FRC will have several increased capabilities enhancing overall mission execution. The FRC is designed for rapid response, with approximately a 28 knot speed capability, and will typically operate in the coastal zones. Examples of missions that FRCs will complete include SAR, Migrant Interdiction, Drug Interdiction and Ports Waterways and Coastal Security.

FRCs will provide enhanced capabilities over the 110's including improved C4ISR capability and interoperability; stern launch and recovery (up through sea state 4) of a 40 knot, Over-the-Horizon, 7m cutter boat; a remote operated, gyro stabilized MK38 Mod 2, 25mm main gun; improved sea keeping; and enhanced crew habitability.

Other capabilities include:

- The ability to conduct shipboard migrant interdiction evolutions, including detection, tracking, interdiction, embarkation and disembarkation, administrative processing, and retention onboard.
- The ability to patrol areas where suspected illegal migrant, drug, or fisheries activities may occur, and dispatch boarding teams to suspect vessels and subsequently escort them to their final disposition.
- The ability to search for, locate and recover distressed mariners; provide medical assistance or evacuation, and provide safe transport. It will also provide the ability to control damage to distressed vessels and other property, provide dewatering equipment and mechanical assistance, and tow stricken vessels.

**Prior Key Events:**

- Awarded design and construction of lead-hull (2008)
- Started production of lead-ship (2010)

**Fast Response Cutter (FRC)**

**\$139,000**

- Awarded contract option for FRCs 9-12 (2011)
- Launched hulls #1-2 (2011)
- Conducted Preliminary Acceptance Trials on lead-ship (2011)

**FY 2012 Planned Key Events:**

- Award contract option for FRCs 13-16
- Delivery of lead-ship and hulls #2-3
- Award contract option to obtain Reprourement Data License Package (RDLP)
- Conduct Initial Operational Test and Evaluation (IOT&E)

**FY 2013 Planned Key Events:**

- Deliver hulls #4-7
- Award contract option for FRC hulls #17-20

**FUNDING HISTORY<sup>5</sup>**

<b>FY</b>	<b>\$K</b>	<b>Major Activity Funded by Net Appropriation</b>
2007 & Prior	\$153,945	Base contract option (lead ship plus design & associated CLINs)
2008	\$0	
2009	\$115,300	Hulls 2-4 and associated CLINs
2010	\$243,000	Hulls 5-8 and associated CLINs
2011	\$241,460	Hulls 9-12 and associated CLINs
2012	\$358,000	Hulls 13-18, RDLP, and associated CLINs
<b>Total</b>	<b>\$1,111,705</b>	<b>Funding received for FY 2007 &amp; Prior through FY 2012</b>

**CONTRACTOR:**

Bollinger Shipyards Inc.

**TYPE OF CONTRACT:**

FFP-EPA

**KEY EVENTS**

	<b>FY</b>
Contract Award	2008
Critical Design Review	2009
Start Production	2010
Lead Ship Delivery	2012

**Significant Changes**

No significant changes.

<sup>5</sup> Funding history no longer includes funding for an early prototype (FRC-A).

U. S. Coast Guard - FY 2013 Congressional Justification

**Fast Response Cutter (FRC)**

**\$139,000**

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Reprocurement Data License Package (RDLP)			FY12:Q2	FY13:Q3	27,243
Hulls 13-16 Construction			FY12:Q4	FY15:Q3	153,501
Hulls 13-16 Assoc. CLINs			FY12:Q4	FY15:Q3	81,000
Hulls 17-18 Construction			FY13:Q4	FY16:Q3	75,000
Hulls 17-18 Assoc. CLINs			FY13:Q4	FY16:Q3	21,256
FY 2013					
Hulls 19-20 Construction			FY13:Q4	FY16:Q1	78,516
Assoc. CLINs (Warranty, EPA, BRI, Spares)			FY13:Q4	FY16:Q3	60,484

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	512,245	241,460	358,000	139,000	1,250,705
Obligation	478,491	166,102	235,052	176,377	1,056,022
Expenditure	160,455	34,052	202,489	249,068	646,064
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	60,358	23,898	160,550	205,796	450,602
Survey, Design & Engineering	53,167				53,167
Project Management	46,930	10,154	41,939	43,272	142,295

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Hulls 19 - 20 Construction	78,516
Associated CLINs (Warranty, BRI, Supply Support, Training, EPA) & Program Costs	60,484
<b>FY 2013 Cost Estimate Project Total:</b>	<b>139,000</b>

U. S. Coast Guard - FY 2013 Congressional Justification

**Fast Response Cutter (FRC)**

**\$139,000**

**Budget Allocation to Mission-Program**

<b>U. S. Coast Guard Mission-Program</b>	<b>Budget Allocation</b>	
	<b>FY 2012</b>	<b>FY 2013</b>
Search and Rescue	15,728	4,556
Marine Safety	3,558	2,868
Aids to Navigation	749	196
Ice Operations	-	-
Marine Environmental Protection	-	40
Living Marine Resources	30,707	28,565
Drug Interdiction	161,774	19,867
Migrant Interdiction	107,849	53,666
Other Law Enforcement	749	1,617
Ports, Waterways & Coastal Security	22,656	22,508
Defense Readiness	14,230	5,117
<b>Mission-Program Allocation Total:</b>	<b>358,000</b>	<b>139,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being completed in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Cutter Boats**

**\$4,000**

**Project Description, Justification and Scope**

This request continues funding for production of multi-mission cutter small boats that will be fielded on the Coast Guard's newly acquired National Security Cutter. This request funds production of hull #4-5 Cutter Boat Long Range Interceptor II (CB-LRI-II), and hulls #8-9 Cutter Boats Over-the-Horizon IV (CB-OTH-IV), along with project and technical support.

The CB-LRI-II will be an 11-meter cutter boat carried by the NSC. The CB-LRI-II will provide enhanced capabilities compared to legacy cutter boats, such as higher speeds, extended range, better sea-keeping, and greatly improved communications and connectivity to the parent cutter. The CB-OTH-IV is a 7-meter cutter boat that also provides enhanced capabilities compared to legacy cutter boats. The CB-OTH-IV operates beyond sight of the parent cutter (over the horizon) to deploy boarding parties, pursue and interdict TOI, and perform SAR operations. The CB-OTH-IV is both stern launch/recovery, and side-davit launch/recovery, capable.

Both the CB-LRI-II and CB-OTH-IV support the parent cutter in its mission execution. These include SAR operations, migrant interdiction, law enforcement and other operations.



**FY 2011 Prior Key Events:**

- Awarded Production & Testing CB-OTH IV #1 (includes "Boat Off" competition hulls)
- Approved Acquisition Decision Event (ADE)-2 for the CB-LRI-II

**FY 2012 Planned Key Events:**

- Testing CB-OTH IV #1 (includes "Boat Off" competition hulls)
- Issue RFP CB-LRI-II / Delivery of 1<sup>st</sup> CB-LRI-II
- Construct CB-OTH IV #2-7

**FY 2013 Planned Key Events:**

- Construct LRI II #2-5
- Construct CB-OTH IV #8-9



U. S. Coast Guard - FY 2013 Congressional Justification

**Cutter Boats** **\$4,000**

**COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2013:**

ITEM	QUANTITY	TOTAL (\$K)
CB-OTH-IV #8-9	2	\$1,400
CB-LRI- II #4-5	2	\$2,600
	<b>Total</b>	<b>\$4,000</b>

**FUNDING HISTORY**

<i>FY</i>	<i>\$K</i>	<i>Major Activity Funded by Net Appropriation</i>
2002	\$945	Design SRP/Start construction of SRP hulls 1-2
2003	\$2,710	Construct SRP hulls 3-8 <sup>6</sup>
2004	\$1,408	SRP Mods and LRI Final Acceptance Trials Tech Support
2005	\$2,200	CB-LRI-I Development/Design/Construction Prep; SRP Mods, Repairs and Studies
2006	\$624	Construction of CB-LRI-I; BCA for Follow-On LRI Procurements
2007	\$1,069	SRP hull 9 <sup>7</sup> Proposal Prep Re-pricing, Acquisition Planning for LRI & SRP Program restarts
2008	\$2,430	Acquisition Planning for LRI & SRP Program restarts and Launch & Recovery Interface Studies
2009	\$2,400	Design, Engineering, and Spec. Development of CB-OTH-IV and CB-LRI-II; Construction CB-OTH-IV #1 (“Boat Off”)
2010	\$3,000	Construction CB-OTH-IV #2 and Design, Engineering, and Spec. Development of CB-LRI-II; plus Program Management, Testing, and Acquisition Logistics
2011	\$2,994	Construction CB-OTH- IV #3 & 4 and Design, Engineering, and production of CB-LRI-II #1; plus Program Management, Testing, and Acquisition Logistics
2012	\$5,000	Construction CB-OTH-IV #5-7 and CB-LRI-II #2-3; plus Program Management, Testing, and Acquisition Logistics
<b>Total</b>	<b>\$24,780</b>	<b>Funding received for FY 2002 through FY 2012</b>

Leading up to selection of the final CB-OTH-IV design, there is a “Boat Off” competition between competing boat manufacturers. In this acquisition strategy, the CG has awarded a contract for construction of one boat to four different manufacturers, with options for full production. The CG will then determine which design (of the boats built) best meets needs, and this design will be selected for full production. Funding for CB-OTH-IV hull #1 includes the cost of procuring the boats for this competition. CB-OTH-IV hull #2 and beyond will be produced by the manufacturer that wins the “Boat Off” competition.

<sup>6</sup> SRPs #1-8 were originally built for the 123’ Patrol Boats, but are now temporarily used aboard NSCs.

<sup>7</sup> SRP Hull #9 was never constructed and funding was applied to restart the program.

**Cutter Boats**

**\$4,000**

**CONTRACTOR:**

SRP #1-8: Zodiac of North America  
 CB-LRI-I: Willard Marine  
 CB-OTH-IV – TBD  
 CB-LRI-II - TBD

**KEY EVENTS:**

	<b>FY</b>
Delivery SRP-1 through SRP-8	2007 & Prior
Delivery CB-LRI-I Lead Boat	2008
Completion Design, Engineering & Spec. Development for CB-OTH-IV	2010
Awarded Production & Testing CB-OTH-IV # 1 (includes “Boat Off” competition hulls)	2011
Completion Design, Engineering & Spec. Development for CB-LRI-II	2011
Testing CB-OTH-IV # 1 (includes “Boat Off” competition hulls)	2012
Production CB-LRI-II #1	2012
Production CB-OTH-IV #2-7	2012
Production CB-LRI-II # 2-5	2013
Production CB-OTH-IV # 8-9	2013

**Significant Changes**

FY12 sequencing updated from FY12 funding request to reflect delay due to OTH bid protest and LRI RFP preparation.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
CB-OTH-IV #5-7			FY12:Q1	FY12:Q4	2,500
CB-LRI-II #2-3			FY12:Q4	FY13:Q4	2,500
FY 2013					
CB-OTH-IV #8-9			FY13:Q1	FY13:Q4	1,500
CB-LRI-II #4-5			FY13:Q4	FY14:Q4	2,500

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	16,786	2,994	5,000	4,000	28,780
Obligation	7,356	7,822	6,666	6,790	28,634
Expenditure	6,644	12,286	3,000	5,000	26,930
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	6,644	12,286	3,000	5,000	26,930

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Cutter Boats**

**\$4,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<u>Construction / Acquisition</u>	
CB-OTH-IV #8-9	1,500
CB-LRI-II #4-5	2,500
<b>FY 2013 Cost Estimate Project Total:</b>	<b>4,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	220	175
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	1,145	1,037
Drug Interdiction	2,185	1,556
Migrant Interdiction	300	259
Other Law Enforcement	390	350
Ports, Waterways & Coastal Security	130	104
Defense Readiness	630	519
<b>Mission-Program Allocation Total:</b>	<b>5,000</b>	<b>4,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Medium Endurance Cutter Sustainment (MEP)**

**\$13,000**

**Project Description, Justification and Scope**

This request funds completion of the Mission Effectiveness Project (MEP) production on the last two (hulls 12-13) 270' WMECs. This work includes replacement of major equipment that is the primary source of degraded operational readiness, such as the main propulsion control and monitoring system, small boat davits, oily water separators, air conditioning, refrigeration, and evaporators. The majority of this work will be performed at the Coast Guard Yard in Curtis Bay, MD. Some work items will be completed via road show installations following the yard availability.

This funding request leverages carryover funding from prior years. Actual costs for 270' MEC MEP and 210' MEC MEP projects were less than original estimates for materials and labor. Thus, these savings reduce the required funding needed to fully fund the program in FY 2013.

The MEP project includes both the 210' and 270' WMECs. The last 210' WMEC MEP was essentially completed in FY 2010, leaving work on 270' WMECs as the focus for the remainder of this project.



The MEP project is a bridging strategy for the WMEC fleet until it is replaced by the OPC fleet. For the 270' cutter class, this project improves the overall operational readiness and mission effectiveness. Each 270' WMEC provides 185 days of mission performance; a loss of that capacity reduces operational hours and adversely effects mission performance. Additionally, the MEP improves the cutter's operating and cost performance by replacing systems that have the highest failure rates with more reliable equipment. Replacing obsolete equipment also yields greater standardization, capability, and reliability across the two cutter classes. Post-MEP, WMECs have an average equipment reliability rate (in terms of decreased number of major casualties) that is nearly double that of pre-MEP WMECs.

MECs have helicopter and small boat capabilities that support operations in the coastal and offshore areas of the Exclusive Economic Zone (EEZ).

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Medium Endurance Cutter Sustainment (MEP)** **\$13,000**

**COST ESTIMATE OF WORK TO BE FUNDED FOR FISCAL YEAR 2013:**

ITEM	QUANTITY	TOTAL (\$K)
270' WMEC Mission Effectiveness Project	2	<u>\$13,000</u>
	<b>Total</b>	<b>\$13,000</b>

**FUNDING HISTORY**

<i>FY</i>	<i>\$K</i>	<i>Major Activity Funded by Net Appropriation</i>
2002	\$8,683	Legacy Cutter Sustainment Appropriation <sup>8</sup>
2003	\$3,675	WMEC Maintenance Sustainment Availability Project Initiation
2004	\$6,793	WMEC Maintenance Sustainment Availability
2005	\$12,500	WMEC Mission Effectiveness Projects
2006	\$24,750	WMEC Mission Effectiveness Projects
2007	\$45,318	WMEC Mission Effectiveness Projects
2008	\$34,500	WMEC Mission Effectiveness Projects
2009	\$35,500	WMEC Mission Effectiveness Projects
2010	\$31,100	WMEC Mission Effectiveness Projects
2011	\$29,940	WMEC Mission Effectiveness Projects
2012	\$47,000	WMEC Mission Effectiveness Projects
<b>Total</b>	<b>\$279,759</b>	<b>Funding received for FY 2002 through FY 2012</b>

**CONTRACTOR:**

Coast Guard Yard, Curtis Bay, MD  
 Type of Contract: Government Work Order

**Prior Key Events:**

**(2006)**

- Delivered 270' Phase One WMEC Mission Effectiveness Project Lead Vessel – TAMPA
- Delivered 210' WMEC Mission Effectiveness Project Lead Vessel – DEPENDABLE
- Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel – HARRIET LANE

**(2007)**

- Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel – FORWARD
- Delivered 210' WMEC Mission Effectiveness Project Vessel – CONFIDENCE

**(2008)**

- Delivered 210' WMEC Mission Effectiveness Project Vessel – VENTUROUS
- Delivered 210' WMEC Mission Effectiveness Project Vessel – VIGOROUS
- Delivered 210' WMEC Mission Effectiveness Project Vessel – DECISIVE
- Delivered 270' Phase One WMEC Mission Effectiveness Project Vessel – SENECA

**(2009)**

- Delivered 210' WMEC Mission Effectiveness Project Vessel – ACTIVE
- Delivered 210' WMEC Mission Effectiveness Project Vessel – RESOLUTE
- Delivered 210' WMEC Mission Effectiveness Project Vessel – VALIANT
- Delivered 210' WMEC Mission Effectiveness Project Vessel – VIGILANT
- Delivered 210' WMEC Mission Effectiveness Project Vessel – DAUNTLESS

<sup>8</sup> Not included in the IDS or MEC MEP Acquisition Program Baseline; tracked for historical purposes only.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Medium Endurance Cutter Sustainment (MEP)**

**\$13,000**

**(2010)**

- Delivered 210' WMEC Mission Effectiveness Project Vessel – ALERT
- Delivered 210' WMEC Mission Effectiveness Project Vessel – RELIANCE
- Delivered 210' WMEC Mission Effectiveness Project Vessel – DILIGENCE
- Delivered 210' WMEC Mission Effectiveness Project Vessel – STEADFAST

**(2011)**

- Delivered 270' WMEC MEP Vessel – NORTHLAND
- Delivered 270' WMEC MEP Vessel – TAMPA

**FY 2012 Planned Key Events:**

- Deliver 270' WMEC MEP Vessel – LEGARE
- Deliver 270' WMEC MEP Vessel – THETIS
- Deliver 270' WMEC MEP Vessel – BEAR
- Deliver 270' WMEC MEP Vessel – ESCANABA

**FY 2013 Planned Key Events:**

- Deliver 270' WMEC MEP Vessel – TAHOMA
- Deliver 270' WMEC MEP Vessel – HARRIET LANE
- Deliver 270' WMEC MEP Vessel – SPENCER

**Significant Changes**

Savings from prior year funding, combined with the FY 2013 funding request, provides sufficient funding to complete all fourteen 210' WMECs and all thirteen 270' WMECs.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
270' WMEC MEP			FY06:Q1	FY13:Q4	47,000
<hr/>					
FY 2013					
270' WMEC MEP			FY06:Q1	FY14:Q4	13,000

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Medium Endurance Cutter Sustainment (MEP)**

**\$13,000**

**Schedule of Project Funding**

	Project Funds				<b><u>Total</u></b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	202,820	29,940	47,000	13,000	292,760
Obligation	192,263	34,138	33,760	32,456	292,617
Expenditure	165,579	33,836	32,542	33,718	265,675
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	164,579	33,336	32,042	33,218	263,175
Project Management	1,000	500	500	500	2,500

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
270' MEP	12,500
<b><u>Project Management</u></b>	
Project Management	500
<b>FY 2013 Cost Estimate Project Total:</b>	<b>13,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	809	224
Marine Safety	22	7
Aids to Navigation	9	2
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	10,146	2,803
Drug Interdiction	18,574	5,159
Migrant Interdiction	13,203	3,627
Other Law Enforcement	43	12
Ports, Waterways & Coastal Security	1,884	525
Defense Readiness	2,310	641
<b>Mission-Program Allocation Total:</b>	<b>47,000</b>	<b>13,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Polar Icebreaker** **\$8,000**

**Project Description, Justification and Scope**

This funding will initiate survey and design activities for a new Coast Guard polar icebreaker, intended to provide continued U.S. Arctic icebreaking capability following the projected end of service life of the CGC POLAR STAR on or about 2022. This effort will build upon requirements analyses undertaken within the past three years, including the High-Latitude Mission Analysis Report, and the Polar Icebreaker Business Case Analysis.

In recognition of emerging operational risks in the Arctic regions, the Coast Guard is committed to developing and implementing an acquisition plan that will ensure seamless and expeditious availability of icebreaking capacity to meet its missions. Specifically, the Coast Guard will deliver a fully operational polar icebreaker within a decade.

This funding will be used to develop programmatic planning documents required under the USCG Major Systems Acquisition Manual, including an Analysis of Alternatives, a Life Cycle Cost Estimate, a Cost Benefit Analysis (CBA), modeling simulation and testing (as required) to build a modern polar icebreaker. These efforts will lead to development of a formal icebreaker acquisition project, with the award for construction anticipated within the next five years.

As conditions in the Arctic evolve, and maritime activity grows, the requirement for sustained surface presence, capable of operating in the ice-covered waters of the Polar regions remains critical. This project will maintain a National icebreaking capability through an efficient, timely and cost effective acquisition.

**Significant Changes**

These funds represent a new project for acquisition of a Polar Icebreaker.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
FY 2013					
Polar Icebreaker Survey & Design	FY13:Q2	FY16:Q4			8,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation				8,000	8,000
Obligation				2,000	2,000
Expenditure				500	500
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition				500	500



U. S. Coast Guard - FY 2013 Congressional Justification

**Polar Icebreaker**

**\$8,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<u>Construction / Acquisition</u>	
Polar Icebreaker Survey & Design	8,000
<b>FY 2013 Cost Estimate Project Total:</b>	<b>8,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b><u>Budget Allocation FY 2013</u></b>
Search and Rescue	173
Marine Safety	-
Aids to Navigation	-
Ice Operations	7,640
Marine Environmental Protection	-
Living Marine Resources	43
Drug Interdiction	-
Migrant Interdiction	-
Other Law Enforcement	-
Ports, Waterways & Coastal Security	-
Defense Readiness	144
<b>Mission-Program Allocation Total:</b>	<b>8,000</b>

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Maritime Patrol Aircraft (MPA) HC-144**

**\$43,000**

**Project Description, Justification and Scope**

This request funds the 18<sup>th</sup> airframe of 36 HC-144A Maritime Patrol Aircraft (MPA). These funds will help address the Coast Guard's MPA flight hour gap by providing 1,200 additional MPA hours each year. The first eighteen HC-144A aircraft will be stationed at Mobile, AL; Elizabeth City, NC; Miami, FL; Cape Cod, MA; and Corpus Christi, TX.



The HC-144A Ocean Sentry is the Coast Guard's medium-range surveillance (MRS) and transport fixed air capability, complementing the long-range, heavy-lift four-engine HC-130 aircraft. It replaces and enhances the current capability provided by the HU-25 Falcon. The two-engine high-efficiency turboprop design allows extended surveillance, quick response capability, at a relatively low cost per flight hour. The HC-144A is a multi-mission platform that performs Search and Rescue; Law Enforcement; Homeland Security; Marine Environmental Protection; and International Ice Patrol missions, as well as assist with cargo and personnel transport. It can perform aerial delivery of Search and Rescue equipment, such as rafts, pumps, and flares, and can be used as an On-Scene Commander platform. The asset delivers maritime domain awareness essential to achieving mission success.

The modern cockpit design provides pilots with superior situational awareness, reduced workload, and increased safety, allowing them to better concentrate on mission execution. Systems operators can collect, compile, and transfer vital information in near-real time to operational commanders on ship or shore, hundreds of miles from the aircraft. Satellite radios provide clear and uninterrupted voice and data exchange. The Automatic Identification System (AIS) allows crews to rapidly identify and monitor vessels, adding a robust layer to border security. The multi-mode surface and air search radar (MMR) can detect differences in backscatter between clear water and oil-covered water due to the dampening effects of oil on small wind-generated waves, while the EO/ IR sensor can detect the small temperature variation between clear and oil-covered water. The Common Operating Picture (COP) provides the capability to navigate to previously-marked pollution areas and update them based on current C4ISR and visual indications. The HC-144A has a rear ramp to facilitate roll-on/roll-off provisions from the cargo bay. This quick-change feature allows ground crews to re-configure the aircraft between maritime patrol, medical evacuation, and passenger/freight transport. Its medium size and high-lift wing design allow take-off and landing on short, unpaved landing areas, further enhancing the Coast Guard's abilities to serve its broad array of missions.

**Prior Key Events:**

- MPA #1 – #3 Delivery (2007)
- Mission System Pallet (MSP) #1- #3 Delivery (2007)
- MPA #4 – #5 Delivery (2009)
- MPA Initial Operating Capability (IOC) (2009)
- MPA #6 – #8 Delivery (2009)

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Maritime Patrol Aircraft (MPA) HC-144**

**\$43,000**

- MPA #9 – #10 Delivery (2010)
- Mission System Pallet (MSP) #4 – #9 Delivery (2010)
- Contract Production of MPA #15 (2011)
- MSP #10 – #12 Delivery (2011)
- Contract for Full-Motion Flight Simulator (2011)
- MPA #11 – #12 Delivery (2011)

**FY 2012 Planned Key Events:**

- Contract Production of MPA #16 – #17
- MPA #13 – #14 Delivery

**FY 2013 Planned Key Events:**

- MPA #15 – #16 Delivery
- Contract Production of MPA #18
- Contract Production of MSP #13 – #17
- Flight Simulator Delivery

**FUNDING HISTORY**

<i><b>FY</b></i>	<i><b>\$K</b></i>	<i><b>Major Activity Funded by Net Appropriation</b></i>
2002	\$12,538	Conceptual Development/Design
2003	\$141,443	Procured MPA #1 and #2; three MSPs
2004	\$24,853	Procured MPA #3
2005	\$5,250	Procured Initial Spares MPA #1 – #3
2006	\$67,320	Procured MPA #4 and #5; Initial Spares
2007	\$148,616	Procured MPA #6 – #8; Initial Spares
2008	\$170,015	Procure MPA #9 – #11; five MSPs
2009	\$86,600	Procure MPA #12; four MSPs; Initial Spares
2010	\$138,500	Procure MPA #13 – #14; Simulator; Initial Spares
2011	\$44,920 <sup>9</sup>	Procure MPA #15
2012	\$129,500	Procure MPA #16 - #17; up to five MSPs; Initial Spares
<b>Total</b>	<b>\$969,555</b>	<b>Funding received for FY 2002 through FY 2012</b>

**CONTRACTOR:**

EADS North America (Fixed price – base year plus four option years)

**SUBCONTRACTORS:**

Airframe: Airbus Military CN235-300M CG-01 Configuration (Madrid, Spain)  
 Avionics: Rockwell Collins (Cedar Rapids, IA)  
 Power Plant: General Electric CT7-9C3 engine (Lynn, MA)  
 Propulsion: Hamilton Sundstrand 14RF-37 (Windsor Locks, CT)  
 Sensors: Telephonics APS-143V3 Multi-Mode RADAR (Farmingdale, NY)  
 FLIR Systems Star Sapphire III (Portland, OR)  
 Saab R4A Automatic Identification System (Stockholm, Sweden)

<sup>9</sup> \$39,920K was appropriated in P.L. 112-10, Department of Defense and Full-Year Continuing Appropriations Act, 2011 and was increased to \$44,920K via subsequent Congressionally approved transfer.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Maritime Patrol Aircraft (MPA) HC-144** **\$43,000**

Mission System: Lockheed Martin (Moorestown, NJ)  
 Communications: Wulfsberg RT-5000 (Prescott, AZ)

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
FY 2012					
Maritime Patrol Aircraft (2)			FY12:Q1	FY14:Q1	80,000
MSPs (up to 5) and spares			FY12:Q1	FY14:Q1	49,500
<hr/>					
FY 2013					
Maritime Patrol Aircraft (1)			FY13:Q1	FY15:Q1	43,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	795,134	44,920	129,500	43,000	1,012,554
Obligation	754,831	55,183	116,060	64,188	990,262
Expenditure	564,434	101,852	99,670	98,916	864,872
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	564,434	101,852	99,670	98,916	864,872

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013</u></b>
	<b><u>Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Maritime Patrol Aircraft (MPA) (1)	43,000
<b>FY 2013 Cost Estimate Project Total:</b>	<b>43,000</b>

U. S. Coast Guard - FY 2013 Congressional Justification

**Maritime Patrol Aircraft (MPA) HC-144**

**\$43,000**

**Budget Allocation to Mission-Program**

<b>U. S. Coast Guard Mission-Program</b>	<b>Budget Allocation</b>	
	<b>FY 2012</b>	<b>FY 2013</b>
Search and Rescue	26,803	8,507
Marine Safety	57	19
Aids to Navigation	172	77
Ice Operations	-	-
Marine Environmental Protection	6,339	1,160
Living Marine Resources	19,576	7,347
Drug Interdiction	24,629	6,574
Migrant Interdiction	29,671	9,668
Other Law Enforcement	1,970	232
Ports, Waterways & Coastal Security	20,283	9,416
Defense Readiness	-	-
<b>Mission-Program Allocation Total:</b>	<b>129,500</b>	<b>43,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**HH-65 Conversion and Sustainment Project**

**\$31,500**

**Project Description, Justification and Scope**

The purpose of the project is to modernize the Coast Guard's current fleet of 100<sup>10</sup> H-65 helicopters, converting them to MH-65 Short Range Recovery (SRR) helicopters. The modernization effort includes a service life extension, where obsolete components are replaced



with modernized and more capable sub-systems, including a new integrated cockpit and C4ISR suite. The H-65 Conversion and Sustainment Project is comprised of six discrete segments. Each of the six discrete segments consists of upgrades and modernization of aging components and sub-systems while enhancing the system's capability. Discrete segments (DS) 1, 2, and 3 were fully funded through prior year funding. DS 4 (Obsolete Component Modernization) and DS 6 (Automatic Flight Control System (AFCS) / Avionics) were started with prior year funding and will be continued with funds requested in FY 2013.

The H-65 Dolphin is the Coast Guard's short-range recovery helicopter, which has been in operation since 1984. The H-65 Conversion and Sustainment Project delivers incremental modernization of this asset to extend its expected service life through 2027.

**Prior Year Key Events:**

- DS 1 Engine Upgrade Completed (2007)
- DS 3 Airborne Use of Force (AUF) Initial Operational Capability (2008)
- DS 2 National Capital Region Air Defense (NCRAD) Complete (2010)
- DS 6 Begins Obtain Phase (2010)
- Completed NCRAD Project Sustainment (2011)
- DS 4 Achieved Initial Operational Capability (2011)

**FY 2012 Planned Key Events:**

- Continue obsolete component upgrades (DS 4)
- Continue cockpit modernization upgrades (AFCS/Avionics) (DS 6)
- DS 3 Full Operational Capability and transition to sustainment

**FY 2013 Planned Key Events:**

- Continue obsolete component upgrades (DS 4)
- Continue cockpit modernization upgrades (AFCS/Avionics) (DS 6)

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<sup>10</sup> The current fleet of H-65s includes 100 aircraft, accounting for the loss of 6505 and 6523.

U. S. Coast Guard - FY 2013 Congressional Justification

**HH-65 Conversion and Sustainment Project**

**\$31,500**

**FUNDING HISTORY**

<b><i>FY</i></b>	<b><i>\$K</i></b>	<b><i>Major Activity Funded by Net Appropriation</i></b>
2002	\$5,679	H-65 Re-Engine
2003	\$7,461	H-65 Re-Engine
2004	\$57,301	H-65 Re-Engine
2005	\$139,000	H-65 Re-Engine
2006	\$131,769	H-65 Re-Engine
2007	\$38,073	H-65 Re-Engine Completion
2008	\$44,252	H-65 Conversion and Sustainment Project & SRR Phase II <sup>11</sup> Start
2009	\$62,879	H-65 Conversion and Sustainment Project
2010	\$38,000	H-65 Conversion and Sustainment Project
2011	\$0	H-65 Conversion and Sustainment Project
2012	\$24,000	H-65 Conversion and Sustainment Project
<b><i>Total</i></b>	<b><i>\$548,103</i></b>	<b><i>Funding received for FY 2002 through FY 2012</i></b>

**CONTRACTOR:**

Aircraft Conversion: USCG Aviation Logistics Center, Elizabeth City, NC

**SUBCONTRACTORS:**

Aircraft Components: American Eurocopter, Grand Prairie, TX

Avionics: Rockwell Collins, Cedar Rapids, IA

Power Plant: Turbomeca, Grand Prairie, TX

**Significant Changes**

No significant change.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b><u>Total Estimate Cost</u></b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
<b>FY 2012</b>					
Discrete Segment 4 (OCM) Production			FY10:Q3	FY15:Q1	12,400
Discrete Segment 6 (AFCS/Avionics) Development	FY10:Q3	FY15:Q1			11,600
<b>FY 2013</b>					
Discrete Segment 4 (OCM) Production			FY10:Q3	FY15:Q1	5,845
Discrete Segment 6 (AFCS/Avionics) Development	FY10:Q3	FY15:Q1			25,655

<sup>11</sup> The H-65 Discrete Segment 4 (previously Multi-Mission Cutter Helicopter (now SRR) Phase II) consists of the installation of an Embedded GPS/Inertial Navigation System (EGI), Control Display Unit (CDU 7000) and replacements for the legacy transponders.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**HH-65 Conversion and Sustainment Project**

**\$31,500**

**Schedule of Project Funding**

	Project Funds				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	524,103		24,000	31,500	579,603
Obligation	393,134	60,680	35,510	47,757	537,081
Expenditure	358,805	69,694	47,070	37,385	512,954
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	358,805	69,694	47,070	37,385	512,954

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Discrete Segment 4 Production	5,845
Discrete Segment 6 (AFCS/Avionics) Development	25,655
<b>FY 2013 Cost Estimate Project Total:</b>	<b>31,500</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	7,622	10,025
Marine Safety	191	251
Aids to Navigation	363	477
Ice Operations	1,016	1,337
Marine Environmental Protection	1,815	2,387
Living Marine Resources	1,888	2,483
Drug Interdiction	2,613	3,437
Migrant Interdiction	2,178	2,864
Other Law Enforcement	145	191
Ports, Waterways & Coastal Security	4,213	5,542
Defense Readiness	1,956	2,506
<b>Mission-Program Allocation Total:</b>	<b>24,000</b>	<b>31,500</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).



**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Program Oversight and Management** **\$25,000**

**Project Description, Justification and Scope**

This request provides funding for Program Oversight and Management (PO&M). PO&M funding supports activities associated with the transition of the Coast Guard's assets from acquisition to operation, including delivery, provision of logistics, training and other services necessary to ensure seamless integration into the operational fleet.

The Coast Guard is responsible for ensuring the products delivered by contractors and suppliers meet performance specifications. PO&M funds provide the Coast Guard with the capability to protect the government's interests during the acquisition and ensure contractors and suppliers deliver required products and services and meet prescribed contract terms and conditions. The Coast Guard accomplishes this management through staff located at the Program Management Office and at other contractor/government sites. Personnel working on acquisition projects include a mix of military, civilian, and support contractors experienced in all phases of large, complex acquisition programs. The Coast Guard uses these personnel to help ensure prime contractors and other government agencies (OGAs) satisfactorily perform functions consistent with existing policies, processes, and approved project plans. These activities include managing:

- Major milestone events and reviews (e.g., preliminary design review, production Readiness Review, etc.) associated with each project as it progresses through concept & technology development, system development and demonstration, production and deployment, and the operations and support phases.
- Cross-program documentation and analysis.
- Use of unique talents and professional expertise for Technical Evaluation Teams (TETs); ship design teams; and development of mandatory Acquisition documentation.
- Performance monitoring through the use of a variety of tools such as:
  - Earned Value Management System (EVMS), which permits detailed monitoring of cost and schedule performance;
  - Periodic reports, which provide a quarterly review of program cost, schedule, and performance criteria;
  - Acquisition Performance Management System (APMS) which provides web-based reporting on all aspects of program performance on a near real-time basis, depending upon the particular metric. This includes the QARC, monthly performance reports to DHS and various other reports for Program Management such as obligation plans, expenditure report, funds status, etc.
  - Transition of new assets to operations and sustainment after completion of operational testing, with staff serving as a liaison between the prime contractor's production of an asset and its turnover to the operational user and the Coast Guard support community.

PO&M funding also supports risk management processes and communication to mitigate risks providing programs with the best opportunity of success. Risk management includes OT&E done with the U.S. Navy's Commander Operational Test and Evaluation Forces (COMPOPTEVFOR) for the execution of project operational testing. While Developmental Test and Evaluation (DT&E) is the responsibility of

**Program Oversight and Management**

**\$25,000**

the prime contractor, OT&E is performed by the Coast Guard, where acquired assets are tested to ensure they meet the user's requirements.

**FY 2013 Activities Supported by Program Oversight and Management (PO&M)**

<b>Procurement</b>	<b>Justification</b>
Program Manager	Computer support project management site visits, management support priorities and supplies.
Contract Operations	Contracting Officer (KO) contract specialist support for Major System Acquisition projects, Defense Contract Management Agency (DCMA)/ Defense Contract Audit Agency (DCAA) support services.
Acquisition Workforce Management	Program training, strategic & tactical human capital support, Sustainment/Acquisition-Composite Model (SACOM) support for staff levels, program management & acquisition support.
Acquisition Support	Program management, systems engineering, and acquisition management support.
Strategic Planning & Communication	Strategic planning support, as required by the CG and Department of Homeland Security (DHS), communication management support, external coordination support, required reports and responses.
Testing and Evaluation	Execution of Surface, Aviation, Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR), and Logistics development and testing programs.
Resource Management	Acquisition Program Management System (APMS) support and software upgrade support, (SAS) renewal, capitalization & audit remediation support, internal controls support, and Life Cycle Cost Estimating (LCCE) support.
Acquisition Programs	Naval Sea Systems Command (NAVSEA) programmatic support, Naval Surface Warfare Center (NSWC) / NAVSEA direct-site support, program management support, and site visits.
Acquisition Programs – Aviation	Program management support to include administrative, business finance, accounting, risk management, schedule analysis, costs analysis, and site visits.
Acquisition Programs – Surface	Program management support to include administrative, business finance, accounting, risk management, schedule analysis, costs analysis; logistics support; and site visits.
Acquisition Programs – C4ISR	Program management support for program status control reporting, emerging issue resolution, cross domain issues, technical expertise; Integrated Product Team (IPT) support; and Major System Acquisition project coordinator at Space and Naval Warfare Systems Command (SPAWAR); and site visits.
Acquisition Programs Logistics	Program management support for surface & air assets, technical documentation, and performance management, and

U. S. Coast Guard - FY 2013 Congressional Justification

**Program Oversight and Management** **\$25,000**

	site visits.
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**FUNDING HISTORY**

<i><b>FY</b></i>	<i><b>\$K</b></i>	<i><b>Major Activity Funded by Net Appropriation</b></i>
2002	\$28,180	Government Program Management
2003	\$26,318	Government Program Management
2004	\$33,521	Government Program Management
2005	\$38,018	Government Program Management
2006	\$38,114	Government Program Management
2007	\$45,625	Government Program Management
2008	\$50,475	Government Program Management
2009	\$57,850	Government Program Management
2010	\$45,000	Government Program Management
2011	\$44,910	Government Program Management
2012	\$26,000	Program Oversight and Management
<b>Total</b>	<b>\$434,011</b>	<b>Funding received for FY 2002 through FY 2012</b>

**Significant Changes**

Project title changed from “Government Program Management” to “Program Oversight and Management” to more accurately describe funded activities and delineate related cost estimates, in conformance with the enacted FY 2012 Appropriation.

**Project Schedule**

<u><b>Project Description</b></u>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<u><b>Initiated</b></u>	<u><b>Completed</b></u>	<u><b>Initiated</b></u>	<u><b>Completed</b></u>	
FY 2012					
Program Oversight and Management			FY12:Q1	FY16:Q4	26,000
FY 2013					
Program Oversight and Management			FY13:Q1	FY15:Q4	25,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<u><b>FY 2010 &amp; Prior</b></u>	<u><b>FY 2011</b></u>	<u><b>FY 2012</b></u>	<u><b>FY 2013</b></u>	
Appropriation	362,851	44,910	26,000	25,000	458,761
Obligation	337,198	29,711	31,540	31,548	429,997
Expenditure	299,402	39,190	45,061	41,706	425,359
<b><u>Breakdown of Project Expenditures</u></b>					
Project Management	299,402	39,190	45,061	41,706	425,359

**Program Oversight and Management**

**\$25,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Program Management Support	6,000
CG-92 Acquisition Support	4,600
NAVSEA / NAVAIR (OGA)	3,900
Project Requirements Support	3,000
Contracting Specialists	1,500
QFR/BBD/GAO/IG Support	1,300
APMS Support	1,300
Test and Evaluation	1,100
Project Resident Office Support	800
Administrative (computers, copiers, supplies, training)	700
Travel	600
DCAA / DCMA (OGA)	200
<b>FY 2013 Cost Estimate Project Total:</b>	<b>25,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	4,430	4,117
Marine Safety	220	221
Aids to Navigation	461	419
Ice Operations	235	218
Marine Environmental Protection	594	549
Living Marine Resources	4,101	4,062
Drug Interdiction	6,909	6,632
Migrant Interdiction	657	4,043
Other Law Enforcement	4,166	624
Ports, Waterways & Coastal Security	2,861	2,797
Defense Readiness	1,366	1,318
<b>Mission-Program Allocation Total:</b>	<b>26,000</b>	<b>25,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**System Engineering and Integration (SEI)** **\$2,500**

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**Project Description, Justification and Scope**

This request funds system engineering design and integration work across the Coast Guard's major recapitalization projects. This request affects every aspect of the Coast Guard enterprise—encompassing the integration of human capital management; information technology; capital investment planning for air and surface platforms; logistics; Command, Control, Computers, Communications Intelligence, Surveillance, and Reconnaissance (C4ISR); and most importantly - the fleet operator.

This funding request leverages carryover funding from prior years. The transition to government Lead Systems Integrator (LSI) has led to a reassessment of the specific activities funded with this appropriation and a prioritization of those activities. This included an assessment of the most appropriate mix of government (i.e., NAVSEA and NAVAIR) and commercial sources. In FY 2011, the obligation rate decreased while the assessment was underway, resulting in higher than expected carryover into FY 2012. The adjustment to the FY 2013 request reduces the carryover to efficiently execute SEI funds in FY 2013 and the outyears.

SEI is essential for interoperability at the unit, system, and organizational levels. Effective systems integration ensures systems operate in a manner that minimizes the cost of asset acquisition, operations and maintenance, and mitigates risk inherent to a complex acquisition program. SEI is also intended to maximize the ability of Coast Guard assets to operate in concert with each other, and with those of partner agencies (e.g., DoD, DHS agencies, and state and local responders).

The Coast Guard is fielding an integrated system of interoperable aviation, cutter, and shore assets. Without SEI, these assets and their sub-systems would be implemented inefficiently and ineffectively. For example, one aspect of SEI involves establishing a methodology for managing requirements decomposition. Rather than have each acquisition program create asset-specific processes, databases and decision criteria, SEI funds a common requirements database architecture that facilitates rapid searches for common requirements, systems, and interfaces between assets. In addition, SEI funds modeling and simulation of capabilities across all new asset acquisitions, integrating the model with the rest of the Coast Guard assets' capabilities. This provides better decisions from a holistic perspective to deliver required capabilities as efficiently as possible. SEI emphasizes an integrated view of the project, yielding recognition of corresponding upgrades needed across other platforms and programs.

SEI evaluations will be performed across systems, subsystems, and component levels to analyze products and capabilities for interoperability, integration, modularity, and system commonality. These efforts culminate in the ability to determine and document predicted total system performance for numerous configurations and scenarios. SEI has the responsibility for the overall technical configuration development processes. SEI also funds an integrated data environment that allows all stakeholders access to appropriate documents as each program, technical authority, and contractor works through engineering processes.

U. S. Coast Guard - FY 2013 Congressional Justification

**System Engineering and Integration (SEI)**

**\$2,500**

FUNDING HISTORY AND KEY EVENTS

<i>FY</i>	<i>\$K</i>	<i>Key Events</i>	<i>Major Activity Funded *</i>
2002	\$62,955	System Increment 1 – Integrated Product Environment	Overall
2003	\$45,626	System Increment 2 – Initial Integrated Product & Process Development Team Training	Contractor
2004	\$42,104	System Increment 3 – System Architecture Plan	Management of the
2005	\$43,000	Prime Contractor’s Program Management, Systems	Systems
2006	\$36,403	Engineering and Integration Transfer System Increment,	Engineering Process
2007	\$34,517	Prime Contractor’s Program Management	
2008	\$35,145	Transition to Government Systems Integration Role	Systems
2009	\$33,141		Engineering
2010	\$35,000		and Integration
2011	\$28,942		
2012	\$17,140		
<i>Total</i>	<i>\$413,973</i>	<i>Funding received for FY 2002 through FY 2012</i>	<i>* by Net Appropriation</i>

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Systems Engineering & Integration			FY2012:Q1	FY2015:Q4	17,140
FY 2013					
System Engineering & Integration			FY2013:Q1	FY2015:Q4	2,500

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	360,842	28,942	17,140	2,500	409,424
Obligation	340,295	13,371	40,855	10,039	404,560
Expenditure	320,445	18,176	26,512	23,056	388,189
<b><u>Breakdown of Project Expenditures</u></b>					
Survey, Design & Engineering	320,445	18,176	26,512	23,056	388,189

U. S. Coast Guard - FY 2013 Congressional Justification

**System Engineering and Integration (SEI)**

**\$2,500**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Integrated Data Environment Management	1,950
Common Processes	250
Program Management	300
<b>FY 2013 Cost Estimate Project Total:</b>	<b>2,500</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	2,933	412
Marine Safety	150	22
Aids to Navigation	311	42
Ice Operations	151	22
Marine Environmental Protection	389	55
Living Marine Resources	2,676	406
Drug Interdiction	4,544	663
Migrant Interdiction	2,803	404
Other Law Enforcement	411	62
Ports, Waterways & Coastal Security	1,902	280
Defense Readiness	870	132
<b>Mission-Program Allocation Total:</b>	<b>17,140</b>	<b>2,500</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**C4ISR**

**\$40,500**

**Project Description, Justification and Scope**

This request includes funding for the design and development of Command, Control, Computers, Communications, Intelligence, Surveillance, and Reconnaissance (C4ISR) integrated hardware and software systems on NSC (National Security Cutter), OPC (Offshore Patrol Cutter), Long Range Surveillance (LRS) aircraft, and Medium Range Surveillance (MRS) aircraft. These assets are using interoperable C4ISR system designs to optimize lifecycle costs and operational effectiveness. The C4ISR project also provides IA (Information Assurance) support for the FRC (Fast Response Cutter).

- *New Asset Certification Support.* New assets being built and delivered need C4ISR hardware and software support to attain Authority to Operate (ATO). Support includes: Information Assurance testing; software safety systems analysis and testing, weapons systems safety testing; TEMPEST testing; Certification & Accreditation; Operational Testing; and Diminishing Manufacturing Sources (DMS) resolution.
- *OPC C4ISR Development.* A tailored software and hardware baseline will address OPC-specific requirements. This design effort will allow for interoperability of the OPC with other new cutters and air assets, as well as between DoD and other DHS assets.
- *Use of Navy Developed Sensors and Systems.* Cost sharing and alignment with DoD weapons systems will decrease life-cycle costs of Coast Guard systems. Incorporating and leveraging DoD systems allow Coast Guard assets to deploy with the Navy and provide clearance to use its weapons. As DoD updates its systems, integration with the updates, systems will require corresponding design adjustments.
- *Labs.* Lab work is necessary for the Coast Guard to manage the NSC, LRS, MRS baselines for Information Assurance, Diminishing Manufacturing Sources (DMS), and necessary engineering changes as well as to develop the C4ISR suite for OPCs. The labs will facilitate the Coast Guard Systems Integrator (SI) role and provide proper oversight, integration, and testing with minimal disruption to operational units. Ultimately, the labs reduce lifecycle costs by controlling configuration management, decrease impacts to users by reducing or eliminating tests on operational platforms, and reduce schedule by providing a dedicated platform on which to work. Labs include:

*Lab Location.....Purpose of Lab*

- Lowell, MA .....Emissions security (TEMPEST) certification test facility
- Owego, NY .....Aircraft mission system suite C-130J development
- Moorestown, NJ.....Asset baseline integration and development and baseline acceptance lab
- Portsmouth, VA .....C4I software support and Legacy integration

- *Execution Management.* In FY 2011, the C4ISR project delivered a modular, non-proprietary, federated system for better Coast Guard Management to facilitate assumption of SI roles. As new assets are delivered and the C4ISR system installed, certification, accreditation and authority to operate (ATO) requirements will require increased oversight. As the Coast Guard continues to increase oversight and manage integration of multiple vendors, execution support is needed to continue to assist government personnel in overseeing software development, synthesizing requirements decomposition, information assurance, certification, accreditation, authority to operate responsibilities, and executing other program management functions.



**C4ISR**

**\$40,500**

- *Information Assurance.* This includes updates to ensure C4ISR systems comply with continuously evolving DHS and DOD standards regarding information assurance (IA).
- *Engineering Change Proposals/Updates.* These efforts provide updated software and hardware designs for assets currently in production. Design updates are needed due to external impacts such as interoperability architecture changes, diminished manufacturing sources, hardware changes, and interface changes.
- *Logistics Management.* As the federated C4ISR system is fielded on existing new assets, all training facilities/equipment, technical and operations manuals for both surface and aviation assets will require updating.
- *Aviation Electronics.* As new aviation assets are procured, the MSP and MSS C4ISR baselines will diverge as materials experience DMS, inhibiting the Coast Guard's ability to efficiently missionize and sustain the assets. Of concern is the current Video and Mission Processor (VAMP) installed on the C-130Js and C-144s, CMA 4000 Flight and Display Management System, and the common software build. Commonality will reduce the life cycle costs of the C4ISR system.

**FY 2011 Key Events:**

- Delivery of federated C4ISR design
- Integration of C4ISR design with DOD tactical systems
- Provided Space, Weight, And Power estimates for notional OPC C4ISR design
- Critical system updates to address safety, IA, and diminishing manufacturing source issues
- Integration with sensor-align weapon systems with DOD programs to facilitate cost sharing

**FY 2012 Planned Key Events:**

- Award Engineering and lab contracts
- Engineering and logistics support for Segment 2 C4ISR suite Technology Demonstrator on an NSC
- Complete specifications for OPC C4ISR suite
- Complete deployment plan and operational testing for newly acquired NSCs
- Support new asset acquisitions' IA and ATO certifications, including provision of changes necessary to maintain
- Field satellite communication systems on legacy cutters and study/mitigate electromagnetic interference (EMI) caused by these systems

**FY 2013 Planned Key Events:**

- Participate in OPC source selection
- Perform OPC C4ISR capabilities development
- Complete prototype evaluation of Segment 2 on an NSC
- Address Aviation Electronics DMS issues

**C4ISR****\$40,500**

## FUNDING HISTORY

<i><b>FY</b></i>	<i><b>\$K</b></i>	<i><b>Major Activity Funded by Appropriation</b></i>
FY 2002	\$125,480	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2003	\$ 22,032	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2004	\$101,134	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2005	\$ 53,600	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2006	\$ 47,520	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2007	\$ 50,000	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2008	\$ 89,630	NSC/MPA/MSP Seg1,2 - Shore Facilities/Cutter Seg5
FY 2009	\$ 88,100	NSC/MPA/MSP Seg1,2 - Cutter Seg5
FY 2010	\$ 35,000	NSC/MPA/MSP Seg1,2
FY 2011	\$ 30,439	NSC/MPA/MSP Seg1,2
FY 2012	\$ 38,500	NSC/OPC/MPA/MSP Seg1,2
<i><b>Subtotals</b></i>	<i><b>\$681,435</b></i>	<i><b>Funding received for FY 2002 through FY 2012</b></i>

\* **Segment 1** developed a closed and complex C4ISR baseline for NSCs, HC-144As, and HC-130Js. Developed through the Integrated Coast Guard Systems (ICGS) contractor, this system is proprietary and does not allow the Coast Guard the ability to manage additional development outside of the prime contractor, nor does it provide an affordable means for software sustainment. Segment 1 is fully fielded.

\* **Segment 2** began the transition of the proprietary system developed in Segment 1 towards an open architecture owned and controlled by the Coast Guard. It separated the Segment 1 design into modular, scalable functional components with clear interfaces allowing the Coast Guard to manage changes and sustain the system separate from the prime contractor. Segment 2 establishes a common baseline across the NSC, C-144, and C-130J assets and integrated the Special Compartmented Information Facility (SCIF) into the NSC.

\* **Segment 5** (Upgrades to existing assets):

*In-Service Cutters*

- Medium Endurance Cutter (MEC) – 210s, 270s
- High Endurance Cutter (HEC) – 378s

*Shore Facilities*

- CAMS (Communications Area Master Stations)
- Training Center Petaluma
- COMMSTAs (Communication Stations)
- Command Centers

**Significant Changes**

Fielding Segment 2 C4ISR suite has been expedited to prototype the Segment 2 design on an NSC in early FY 2013, requiring aviation electronics DMS issues, such as the Video and Mission Processor (VAMP) Redesign to be extended until FY 2013.

U. S. Coast Guard - FY 2013 Congressional Justification

**C4ISR**

**\$40,500**

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
<b>FY 2012</b>					
C4ISR & SCIF Operational Testing support			FY09:Q2	FY18:Q4	2,500
IA & ATO certification support to new assets			FY12:Q1	FY26:Q4	6,250
Engineering Change Proposals (ECPs)			FY09:Q1	FY26:Q4	2,000
Aviation (VAMP Redesign)	FY12:Q1	FY14:Q1	FY11:Q3	FY15:Q4	4,000
Aviation s/w & h/w upgrades due to DMS			FY12:Q1	FY12:Q4	4,000
Test and Integration Labs			FY09:Q1	FY26:Q4	6,000
S/w & systems engineering & PM support			FY08:Q4	FY26:Q4	9,750
Legacy Cutter Communications Modernization			FY12:Q2	FY13:Q4	4,000
<b>FY 2013</b>					
Test and Integration Labs			FY09:Q1	FY26:Q4	5,000
NSC Acquisition Support/Fielding Segment 2			FY12:Q1	FY18:Q4	13,000
Aviation electronics			FY11:Q3	FY13:Q4	6,000
FRC IA (information assurance) Support			FY11:Q3	FY18:Q4	1,500
Execution Support			FY08:Q4	FY26:Q4	7,000
OPC Development	FY13:Q1	FY17:Q4	FY17:Q4	FY26:Q4	8,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	617,697	30,439	38,500	40,500	727,136
Obligation	607,476	17,733	34,824	36,129	696,162
Expenditure	513,369	67,237	55,298	48,136	684,040
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	448,669	67,237	55,298	48,136	619,340
Survey, Design & Engineering	64,500				64,500
Project Management	200				200

**C4ISR**

**\$40,500**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Construction / Acquisition	
Test and Integration Labs	5,000
NSC Acquisition Support	11,000
Aviation (VAMP Redesign)	6,000
FRC IA (information assurance) Support	1,500
Execution Support	7,000
OPC Development	10,000
<b>FY 2013 Cost Estimate Project Total:</b>	<b>40,500</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	6,140	6,670
Marine Safety	780	357
Aids to Navigation	1,300	679
Ice Operations	780	352
Marine Environmental Protection	1,230	889
Living Marine Resources	5,670	6,581
Drug Interdiction	9,980	10,745
Migrant Interdiction	4,400	6,549
Other Law Enforcement	1,310	1,011
Ports, Waterways & Coastal Security	5,250	4,531
Defense Readiness	1,660	2,136
<b>Mission-Program Allocation Total:</b>	<b>38,500</b>	<b>40,500</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**CG Logistics Information Management System (CG-LIMS)** **\$2,500**

**Project Description, Justification and Scope**

This request supports the development and delivery of the Coast Guard Logistics Information Management System (CG-LIMS). This funding will continue CG-LIMS configuration and phased deployment to Coast Guard operational assets and support facilities. Specifically, the funding will support Initial Operating Capability of the Configuration and Maintenance Management module of CG-LIMS.

CG-LIMS will directly support the Coast Guard Modernization goal of a single, unified logistics system that improves mission readiness, operational effectiveness and decision making by enabling decision support at the enterprise and tactical level. CG-LIMS will use the Mission Support Business Model and the four cornerstones of that model: Configuration Management; Total Asset Visibility; Bi-Level Maintenance; and a single point of accountability through Product Line Managers.

CG-LIMS will be the authoritative source for the configuration of all Coast Guard assets. It will enable product line management by providing total asset visibility throughout the enterprise. It will be the tool through which all maintenance is managed and by which the enterprise supply chain is driven. All technical information relating to Coast Guard assets, including technical publications and manuals, drawings, maintenance procedure cards, and maintained raw data will be organized and managed in the system. The components of configuration, maintenance, supply, and technical information will be tightly integrated and configured to allow efficient execution of a standardized business process. As mission support is executed throughout the Coast Guard, CG-LIMS will interface with finance, procurement, and human resources so that enterprise business needs are met in a standardized manner. CG-LIMS will also reach out to systems beyond the Coast Guard to execute integrated logistics with other government agencies and vendors.

CG-LIMS is planned for phased implementation by segments. Segment 1 will start with configuration and maintenance management functionality for the HC-144A Maritime Patrol Aircraft (MPA) aviation product line; once deployed to that product line, Initial Operating Capability (IOC) will be declared. Immediately following IOC, Segment 1 will be deployed to other asset product lines. CG-LIMS will continue to be implemented by segments across the enterprise.

**FUNDING HISTORY**

<b><i>FY</i></b>	<b><i>\$K</i></b>	<b><i>Major Activity Funded by Net Appropriation</i></b>
2008	\$1,900	CG-LIMS ICGS to U.S. Coast Guard Transition
2009	\$500	CG-LIMS Alternatives Analysis
2010	\$6,000	CG-LIMS Pre-acquisition Activities, Cost Estimates and Program Management Support
2011	\$5,988	CG-LIMS Pre-acquisition Activities, Cost Estimates and Program Management Support
2012	\$6,500	CG-LIMS Pre-acquisition Activities, Cost Estimates and Program Management Support
<b><i>Total</i></b>	<b><i>\$20,888</i></b>	<b><i>Funding received for FY 2008 through FY 2012</i></b>

U. S. Coast Guard - FY 2013 Congressional Justification

**CG Logistics Information Management System (CG-LIMS)** **\$2,500**

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
CG-LIMS Development			FY08:Q2	FY15:Q4	6,500
<hr/>					
FY 2013					
CG-LIMS Development			FY08:Q2	FY15:Q4	2,500

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	8,400	5,988	6,500	2,500	23,388
Obligation	4,634	3,118	6,562	6,405	20,719
Expenditure	3,117	2,036	3,136	3,934	12,223
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	3,117	2,036	3,136	3,934	12,223

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
CG-LIMS Configuration and Installation of Segment 1	2,500
<b>FY 2013 Cost Estimate Project Total:</b>	<b>2,500</b>

U. S. Coast Guard - FY 2013 Congressional Justification

**CG Logistics Information Management System (CG-LIMS)**

**\$2,500**

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	1,112	412
Marine Safety	57	22
Aids to Navigation	118	42
Ice Operations	57	22
Marine Environmental Protection	147	55
Living Marine Resources	1,015	406
Drug Interdiction	1,723	663
Migrant Interdiction	1,063	404
Other Law Enforcement	156	62
Ports, Waterways & Coastal Security	721	280
Defense Readiness	331	132
<b>Mission-Program Allocation Total:</b>	<b>6,500</b>	<b>2,500</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Nationwide Automatic Identification System (NAIS)**

**\$6,000**

**Project Description, Justification and Scope**

The FY 2013 request will be used to continue recapitalizing the existing interim NAIS system in 58 ports and 11 coastal areas by replacing it with the permanent solution design and technology via the core system upgrade. Below on the left is an example of an interim site in Tranquillon Mountain, CA that is anchored by cinder blocks. When recapitalized with the permanent solution, the NAIS equipment will be installed to co-locate with Rescue 21 (R21) infrastructure, such as the tower pictured below in San Onofre, CA.



*Tranquillon Mountain, California*  
(Interim capability)



*R21 tower in San Onofre, California*  
(Permanent co-located infrastructure)

NAIS is a data collection, processing, and distribution system being implemented in response to the requirements of the Maritime Transportation Security Act and consistent with the International Maritime Organization (IMO) standards to enhance maritime domain awareness (MDA). The project provides the necessary capability to ensure the effective exchange of information between AIS-equipped vessels, aircraft, aids to navigation, and shore stations within all major U.S. ports, waterways, and coastal zones. The data collected by NAIS will be shared with other pertinent stakeholders and decision makers in support of maritime security at critical ports. NAIS supports a layered defense and requirements for Advanced Notice of Arrival by correlating AIS data with target vessel reporting and other maritime awareness data to focus resources on higher interest vessels.

NAIS DEPLOYMENT: *Conditional Acceptance schedule*

- The chart below itemizes, in priority order, the 58 ports that have the “Interim Capability” located in 33 Sectors. (Sectors “without” are: Southeastern New England and Juneau.) The 11 coastal areas are encompassed by the same geographic regions as the 58 ports and Sectors listed in the chart below.



U. S. Coast Guard - FY 2013 Congressional Justification

**Nationwide Automatic Identification System (NAIS)**

**\$6,000**

- LEFT COLUMNS ... indicate the *Number of ports per District, by Sector*
- RIGHT COLUMNS ... list the *Planned Accomplishments by Fiscal Year* per the four key activities that precede “Conditional Acceptance” of a port, which are:

Survey.....Conduct/complete the site survey to determine configured hardware placement  
 H/w .....(Hardware) – meaning “purchase configured hardware” for the ports by Sector  
 Install.....Deploy the port’s configured hardware for the permanent transceive system  
 Test .....Complete port testing of core system and installed configured hardware  
 Accept.....Permanent system is activated and placed into operational use by the port

Number of Ports per CG District & by Sector										Priority Order of the 58 Ports		Planned Accomplishments by Fiscal Year				
1	5	7	8	9	11	13	14	17	Sector	Port – with NAIS Transceive	Survey	H/w	Install	Test	Accept	
2									<b>Hampton Roads*</b>	1. <input type="checkbox"/> Newport News, VA *	FY09	FY09	FY10	FY12	<b>FY12</b>	
										2. <input type="checkbox"/> Norfolk, VA *	FY09	FY09	FY10	FY12	<b>FY12</b>	
5									<b>Delaware Bay*</b>	3. <input type="checkbox"/> Philadelphia, PA *	FY09	FY09	FY10	FY12	<b>FY12</b>	
										4. <input type="checkbox"/> Camden, NJ *	FY09	FY09	FY10	FY12	<b>FY12</b>	
										5. <input type="checkbox"/> Marcus Hook, NJ *	FY09	FY09	FY10	FY12	<b>FY12</b>	
										6. <input type="checkbox"/> Wilmington, DE *	FY09	FY09	FY10	FY12	<b>FY12</b>	
										7. <input type="checkbox"/> Paulsboro, NJ *	FY09	FY09	FY10	FY12	<b>FY12</b>	
	1								<b>Mobile*</b>	8. <input type="checkbox"/> Mobile, AL *	FY09	FY09	FY10	FY12	<b>FY12</b>	
	3								New Orleans (accelerated per DwHz)	9. <input type="checkbox"/> Baton Rouge, LA	FY10	FY10	FY12	<b>'13</b>	<b>'13</b>	
										10. <input type="checkbox"/> New Orleans, LA	FY10	FY10	FY12	<b>'13</b>	<b>'13</b>	
										11. <input type="checkbox"/> Port South Louisiana, LA	FY10	FY10	FY12	<b>'13</b>	<b>'13</b>	
	7								Houston- Galveston	12. <input type="checkbox"/> Beaumont, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
										13. <input type="checkbox"/> Freeport, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
										14. <input type="checkbox"/> Galveston, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
										15. <input type="checkbox"/> Houston, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
										16. <input type="checkbox"/> Lake Charles, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
										17. <input type="checkbox"/> Port Arthur, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
										18. <input type="checkbox"/> Texas City, TX	FY11	FY10	FY12	<b>'13</b>	<b>'13</b>	
	1								Corpus Christi	19. <input type="checkbox"/> Corpus Christi, TX	FY11	FY12	<b>'13</b>	<b>'13</b>	<b>'13</b>	
2									New York	20. <input type="checkbox"/> Albany, NY	FY11	FY12	<b>'13</b>	<b>'13</b>	<b>'13</b>	
										21. <input type="checkbox"/> New York/New Jersey	FY11	FY12	<b>'13</b>	<b>'13</b>	<b>'13</b>	
1									Long Island	22. <input type="checkbox"/> New Haven, CT	FY11	FY12	<b>'13</b>	<b>'13</b>	<b>'13</b>	
1									Baltimore	23. <input type="checkbox"/> Baltimore, MD	FY11	<b>'13</b>				
			3						San Francisco	24. <input type="checkbox"/> Oakland, CA	FY12	<b>'13</b>				
										25. <input type="checkbox"/> Richmond, CA	FY12	<b>'13</b>				
										26. <input type="checkbox"/> San Francisco, CA	FY12	<b>'13</b>				
			2						LA/LB	27. <input type="checkbox"/> Los Angeles, CA	FY12	<b>'13</b>				
										28. <input type="checkbox"/> Long Beach, CA	FY12	<b>'13</b>				
			1						San Diego	29. <input type="checkbox"/> San Diego, CA	FY12	<b>'13</b>				
	2								Miami	30. <input type="checkbox"/> Miami, FL	FY12	<b>'13</b>				
										31. <input type="checkbox"/> Port Everglades, FL	FY12	<b>'13</b>				
	1								Key West	32. <input type="checkbox"/> Key West, FL	FY12	<b>'13</b>				
			2						Puget Sound	33. <input type="checkbox"/> Seattle, WA	FY12	<b>'13</b>				
										34. <input type="checkbox"/> Tacoma, WA	FY12	<b>'13</b>				
			1						Columbia River	35. <input type="checkbox"/> Portland, OR	<b>'13</b>					
	2								Charleston	36. <input type="checkbox"/> Charleston, SC	<b>'13</b>					
										37. <input type="checkbox"/> Savannah, GA	<b>'13</b>					
1									North Carolina	38. <input type="checkbox"/> Wilmington, NC	<b>'13</b>					

U. S. Coast Guard - FY 2013 Congressional Justification

**Nationwide Automatic Identification System (NAIS)**

**\$6,000**

Number of Ports per CG District & by Sector								Priority Order of the 58 Ports	Planned Accomplishments by Fiscal Year						
1	5	7	8	9	11	13	14	17	Sector	Port – with NAIS Transceive	Survey	H/w	Install	Test	Accept
	2								Jacksonville	39. <input type="checkbox"/> Jacksonville, FL	'13				
										40. <input type="checkbox"/> Port Canaveral, FL	'13				
	1								St Petersburg	41. <input type="checkbox"/> Tampa, FL	'13				
1									Boston	42. <input type="checkbox"/> Boston, MA	'13				
0									SE New England	(n/a)					
2									Northern New England	43. <input type="checkbox"/> Portland, ME					
										44. <input type="checkbox"/> Portsmouth, NH					
							1		Honolulu	45. <input type="checkbox"/> Honolulu, HI					
							1		Guam	46. <input type="checkbox"/> Guam					
	1								San Juan	47. <input type="checkbox"/> San Juan, PR					
		1							Sault Ste Marie	48. <input type="checkbox"/> Duluth-Superior, MN/WI					
		1							Detroit	49. <input type="checkbox"/> Detroit					
		1							Buffalo	50. <input type="checkbox"/> Cleveland, OH					
		1							Lake Michigan	51. <input type="checkbox"/> Chicago, IL					
		3							Ohio Valley	52. <input type="checkbox"/> Cincinnati, OH					
										53. <input type="checkbox"/> Huntington, WV					
										54. <input type="checkbox"/> Pittsburgh, PA					
	1								Lower MS	55. <input type="checkbox"/> Memphis, TN					
	1								Upper MS	56. <input type="checkbox"/> St Louis, MO					
							0		Juneau	(n/a)					
							2		Anchorage	57. <input type="checkbox"/> Anchorage, AK					
										58. <input type="checkbox"/> Valdez, AK					

\* **First 8 ports** (3 sectors: Hampton Roads, Delaware Bay, Mobile): Initial Operating Capability of the Permanent System that is recapitalizing the interim capability in the 58 ports.

**FY 2011 Key Events:**

- Completed site surveys of R21 sites within five sectors (Houston-Galveston, Corpus Christi, Long Island Sound, New York and Baltimore) to co-locate NAIS equipment with R21 infrastructure to provide NAIS coverage for ports within these sectors.

**FY 2012 Planned Key Events:**

- Establish Initial Operating Capability of the Permanent System subsequent to test events of the transceive capability within the first three Sectors (Mobile, Hampton Roads and Delaware Bay (Philadelphia, PA)).
- Equipment deployments to Sectors New Orleans and Houston Galveston that will upgrade another ten of the 58 ports with the Permanent System.
- Complete site surveys of R21 sites within six Sectors (San Francisco, LA/LB, San Diego, Miami, Key West, and Puget Sound) to co-locate NAIS equipment with R21 infrastructure to provide NAIS coverage for ports within these sectors.
- Equipment acquisition, including procurement of NAIS base station equipment, antennas, networking equipment, annual software licensing, and other shelter and site equipment for three Sectors (Corpus Christi, Long Island Sound and New York)
- Continue one-for-one replacement of interim prototype capability originally deployed in 58 ports, with Permanent System design and technology.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Nationwide Automatic Identification System (NAIS) **\$6,000****

**FY 2013 Planned Key Events:**

- Equipment deployments to three Sectors (Corpus Christi, Long Island Sound and New York) that will recapitalize another four of the 58 ports with the Permanent System.
- Complete site surveys of R21 sites within six Sectors (Columbia River, Charleston, North Carolina, Jacksonville, St. Petersburg, and Boston) to co-locate NAIS equipment with R21 infrastructure to provide NAIS coverage for ports within these Sectors.
- Equipment acquisition, including procurement of NAIS base station equipment, antennas, networking equipment, annual software licensing, and other shelter and site equipment for seven Sectors (Baltimore, San Francisco, LA/LB and San Diego, Miami, Key West and Puget Sound)

CONTRACTORS

**Northrop Grumman Space and Mission Systems, Inc. (Herndon, VA)** – Prime Contractor for the design and installations of the Permanent System in the first three Sectors.

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Planning/Management and Deployment			FY12: Q1	FY12: Q4	5,000
FY 2013					
Planning/Management and Deployment			FY13:Q1	FY13:Q4	6,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	96,011		5,000	6,000	107,011
Obligation	88,114	7,045	4,000	5,550	104,709
Expenditure	81,833	7,155	3,621	4,152	96,761
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	281	2,500	1,811	1,972	6,564
Survey, Design & Engineering	9,358	2,500	1,086	1,280	14,224
Project Management	72,194	2,155	724	900	75,973

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Nationwide Automatic Identification System (NAIS)**

**\$6,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<u>Construction / Acquisition</u>	
NAIS Permanent System deployment	2,850
<u>Survey, Design &amp; Engineering</u>	
NAIS Permanent System deployment	1,850
<u>Project Management</u>	
NAIS Permanent System deployment	1,300
<b>FY 2013 Cost Estimate Project Total:</b>	<b>6,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	-	-
Marine Safety	-	-
Aids to Navigation	-	-
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	-	-
Drug Interdiction	-	-
Migrant Interdiction	-	-
Other Law Enforcement	-	-
Ports, Waterways & Coastal Security	5,000	6,000
Defense Readiness	-	-
<b>Mission-Program Allocation Total:</b>	<b>5,000</b>	<b>6,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

Adhering to the National Environmental Policy Act (NEPA), the NAIS project has completed a Programmatic Environmental Impact Statement (PEIS), dated October 6, 2006. The proposed action analyzed in the PEIS is the broad scope of implementation of the NAIS project. As supported by the analysis in the PEIS, the NAIS Project Manager decided to implement the project using the preferred alternative: a combination of coverage mechanisms, including a combination of collocated and newly built shore-based Radio Frequency (RF) sites for short-range AIS coverage. Implementation of the proposed NAIS project through the Preferred Alternative ensures that the Coast Guard satisfies the purpose and need for NAIS. The Preferred Alternative implementation approach offers siting flexibility that will help mitigate or minimize the potential for environmental impacts as well as allow the Coast Guard to maximize the use of existing assets to meet coverage requirements. This decision is documented in a Record of Decision issued on October 27, 2006.

The PEIS provides a general level of analysis of alternatives and environmental impacts and serves as a top-tier environmental analysis of the general project of installing a nationwide AIS-based vessel detection, identification, tracking, and communication system. As a continuation of the environmental planning process, the Coast Guard is conducting site-specific environmental analysis coincident with the project implementation as specific sites are identified. All sites selected and recapitalized with the NAIS

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Nationwide Automatic Identification System (NAIS)** **\$6,000**

permanent solution capability will be surveyed and likely will be categorically excluded from further analysis under NEPA.

**U. S. Coast Guard  
Acquisition, Construction & Improvements  
FY 2013 Congressional Justification  
(Dollars in Thousands)**

**Air Station Barber's Point Rinse Rack** **\$5,000**

**Project Description, Justification and Scope**

This request fully funds construction of an aircraft rinse rack facility to properly and effectively rinse C-130 aircraft at Air Station Barbers Point, HI (ASBP), the only CG air station that lacks a hangar to house C-130s. Due to the close proximity to the ocean surf, aircraft stationed at ASBP are exposed to a corrosive marine environment requiring additional parts and maintenance to keep aircraft operational. The inability to hangar aircraft in this corrosive environment increases maintenance costs and reduces operational availability. The C-130s at ASBP experience the highest programmed depot maintenance and support costs compared to all other CG air stations with C-130s. Corrosion of aircraft at ASBP result in more frequent maintenance and corrosion inspections, which not only increases costs, but reduces total Fully Mission Capable time. The rinse rack will reduce the amount of corrosion to the aircraft by rinsing off salt and other corrosive elements, ensuring the platform meets its intended service life.



Aircraft Corrosion



Rinse Rack

**Significant Changes**

There have been no previous budget submissions.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2013					
Design	FY13:Q1	FY13:Q3			400
Construct Rinse Rack			FY13:Q2	FY14:Q2	4,600

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Air Station Barber's Point Rinse Rack**

**\$5,000**

**Schedule of Project Funding**

	Project Funds				<b><u>Total</u></b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation				5,000	5,000
Obligation				5,000	5,000
Expenditure				3,000	3,000
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition				2,600	2,600
Survey, Design & Engineering				400	400

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Construct Rinse Rack	4,600
<b><u>Survey, Design &amp; Engineering</u></b>	
Design	400
<b>FY 2013 Cost Estimate Project Total:</b>	<b>5,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b><u>Budget Allocation FY 2013</u></b>
Search and Rescue	1,253
Marine Safety	136
Aids to Navigation	175
Ice Operations	-
Marine Environmental Protection	50
Living Marine Resources	510
Drug Interdiction	1,667
Migrant Interdiction	418
Other Law Enforcement	292
Ports, Waterways & Coastal Security	466
Defense Readiness	33
<b>Mission-Program Allocation Total:</b>	<b>5,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project will comply with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard  
Acquisition, Construction & Improvements  
FY 2013 Congressional Justification  
(Dollars in Thousands)**

**Cold Bay Hangar**

**\$5,000**

**Project Description, Justification and Scope**

The request fully funds renovation of the existing hangar facility and the detailed design and construction of a hangar addition to accommodate two helicopters and crew with utilities, maintenance space, messing and berthing for a minimum of 14 personnel. Forward Operating Location (FOL) Cold Bay provides seasonal Search and Rescue (SAR) coverage for fisheries in the Bering Sea and Aleutians Islands and ensures two rotary wing aircraft, either HH-65 or HH-60J, are located close to seasonal Aleutian Islands/Bering Sea fishing grounds resulting in reduced SAR response time by approximately six hours when compared to dispatching a helicopter from Air Station Kodiak. The six hour reduction in SAR response time is critical when executing life-saving rescues in this remote, inhospitable area of Alaska, where a matter of hours makes a marked difference in the ability to save lives.

FOL Cold Bay began operating in 1990 from an existing leased hangar. The lack of adequate facilities, infrastructure and resources to support forward deployed rotary wing aircraft operations at Cold Bay will impact Coast Guard SAR in the region. The loss of the Cold Bay FOL will result in the delay of CG resources to emergencies when responding from the Saint Paul FOL, 276 miles away, or Air Station Kodiak, 371 miles away.

Construction will occur through a Design-Build process whereby both design and construction is awarded under a single contract.



Interior of Hangar



Hangar Entrance



Interior Clearance

**Significant Changes**

This is a new project.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2013					
Design	FY13: Q1	FY13: Q3			400
Construction			FY13: Q2	FY15: Q2	4,600



*U. S. Coast Guard - FY 2013 Congressional Justification*

**Cold Bay Hangar**

**\$5,000**

**Schedule of Project Funding**

	Project Funds				<b><u>Total</u></b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation				5,000	5,000
Obligation				5,000	5,000
Expenditure				1,000	1,000
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition				600	600
Survey, Design & Engineering				400	400

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Construction	4,600
<b><u>Survey, Design &amp; Engineering</u></b>	
Design	400
<b>FY 2013 Cost Estimate Project Total:</b>	<b>5,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b><u>Budget Allocation FY 2013</u></b>
Search and Rescue	1,594
Marine Safety	42
Aids to Navigation	176
Ice Operations	129
Marine Environmental Protection	286
Living Marine Resources	470
Drug Interdiction	762
Migrant Interdiction	402
Other Law Enforcement	29
Ports, Waterways & Coastal Security	858
Defense Readiness	252
<b>Mission-Program Allocation Total:</b>	<b>5,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project will comply with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard  
Acquisition, Construction & Improvements  
FY 2013 Congressional Justification  
(Dollars in Thousands)**

**Sitkinak, AK Refueling Site Recapitalization \$1,100**

**Project Description, Justification and Scope**

The request fully funds replacement of the existing fuel tanks and fueling systems with military grade systems housed in prefabricated, weather tight shelters with integral spill containment at Sitkinak, AK. The existing fueling equipment, tanks, and the shelter are failing and the fueling equipment does not meet required military standards for physical security and environmental safety measures. There is no fuel spill containment protection on site which poses a significant environmental risk at this remote location. The existing shelter does not properly protect equipment and crew members from the harsh elements on this island with nearly constant 30-40 knots winds and storm wind conditions exceeding 150mph. A complete recapitalization of the existing fuel system, containment, and shelter is required to meet operations in the extreme Alaska environment.

This fuel stop is necessary for rotary wing aircraft, both the HH-65 and HH-60J, to reach their forward operating location at Cold Bay, AK. Without the fueling point at Sitkinak, the HH-65 must make two intermediate stops, flying at the limits of their range. Not being able to reach Cold Bay Forward Operating Location (FOL) would increase Search and Rescue response time from the Saint Paul FOL 276 miles away, or Kodiak 371 miles away.



Exterior Fuel Tanks



Fueling Shelter



Fueling Piping System

**Significant Changes**

This is a new project.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2013					
Recapitalize Fueling Site	FY13:Q1	FY13:Q3	FY13:Q2	FY13:Q4	1,100

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Sitkinak, AK Refueling Site Recapitalization**

**\$1,100**

**Schedule of Project Funding**

	Project Funds				<b><u>Total</u></b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation				1,100	1,100
Obligation				1,100	1,100
Expenditure				1,100	1,100
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition				1,100	1,100

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Recapitalize Fueling Site	1,100
<b>FY 2013 Cost Estimate Project Total:</b>	<b>1,100</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b><u>Budget Allocation FY 2013</u></b>
Search and Rescue	351
Marine Safety	8
Aids to Navigation	39
Ice Operations	29
Marine Environmental Protection	63
Living Marine Resources	103
Drug Interdiction	168
Migrant Interdiction	88
Other Law Enforcement	6
Ports, Waterways & Coastal Security	189
Defense Readiness	56
<b>Mission-Program Allocation Total:</b>	<b>1,100</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project will comply with the national Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Station New York Boat Ramp**

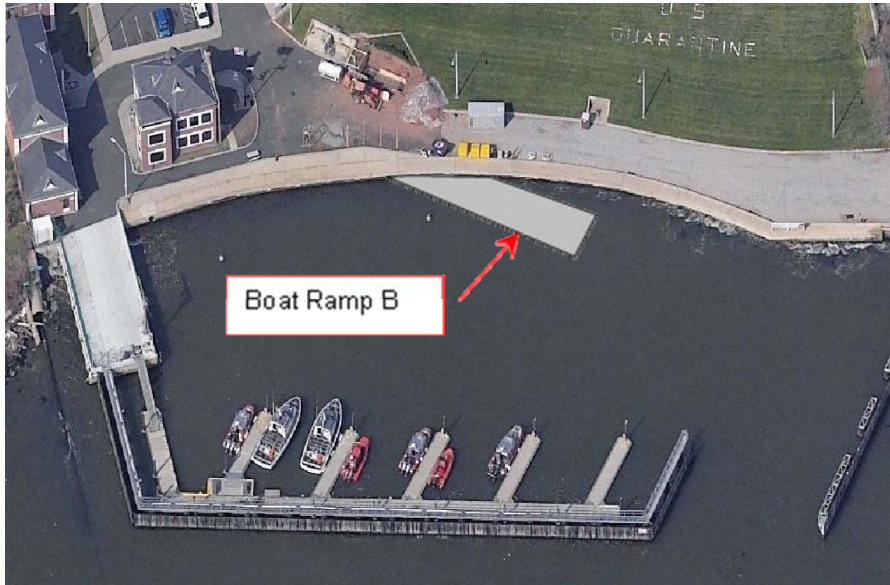
**\$1,900**

**Project Description, Justification and Scope**

The request fully funds construction of a boat ramp for launching small boats at Station New York, NY, for both the Station and Maritime Safety and Security Team (MSST) New York. The Coast Guard units stationed in Staten Island are critical to the security of New York Harbor and are mandated to respond quickly to any emergency.

Station New York currently does not have a boat ramp or boat hoist to launch and retrieve small boats, crucial to ensuring the Coast Guard is able to meet Search and Rescue and Ports and Waterways Coastal Security (PWCS) response times. Station New York and MSST New York both currently use off-site ramps to launch and retrieve small boats in the execution of assigned missions. The off-site ramps are a time-consuming transit from the Station and require transporting twenty-five foot boats on trailers through Staten Island's narrow and congested streets and do not offer 24-hr accessibility. In addition, maintenance procedures require frequent removal of boats, and thus it is impractical to keep them in the water all the time when in a heightened readiness status.

The lack of a readily accessible boat ramp negatively impacts the unit's mission execution and the delay of launching small boats could adversely impact the PWCS and Search and Rescue mission.



Aerial view of Station New York with proposed location of boat ramp

**Significant Changes**

This is a new project.

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Station New York Boat Ramp**

**\$1,900**

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
FY 2013					
Construct Boat Ramp	FY13:Q1	FY13:Q3	FY13:Q2	FY13:Q4	1,900

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation				1,900	1,900
Obligation				1,900	1,900
Expenditure				1,000	1,000
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition				1,000	1,000

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Construct Boat Ramp	1,900
<b>FY 2013 Cost Estimate Project Total:</b>	<b>1,900</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation <u>FY 2013</u></b>
Search and Rescue	225
Marine Safety	168
Aids to Navigation	334
Ice Operations	27
Marine Environmental Protection	44
Living Marine Resources	177
Drug Interdiction	212
Migrant Interdiction	130
Other Law Enforcement	23
Ports, Waterways & Coastal Security	442
Defense Readiness	118
<b>Mission-Program Allocation Total:</b>	<b>1,900</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project will comply with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Shore Infrastructure Survey and Design** **\$1,000**

**Project Description, Justification and Scope**

The Coast Guard's FY 2013 Survey and Design (S&D) budget request includes survey and design funding essential to future year Acquisition, Construction and Improvement (AC&I) shore projects.

Funding will support planning and engineering studies, master plans, project development and design, appraisals, real property requirements and other architectural/engineering efforts. Completing proper planning and design helps to ensure AC&I projects are properly assessed, planned and prioritized prior to seeking project appropriations. The projects supported by this request contribute to the long-range plans and support of operational units. Specifically, this funding is requested to complete initial S&D for facilities/purposes including the following:

- Sector Columbia River Area Housing/UPH
- CG Station Vallejo
- CG Station Morro Bay

**Significant Changes**

There are no significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Survey & Design Project Management	FY 12: Q1	FY 12: Q4			1,000
FY 2013					
CG Sector Columbia River Housing/UPH	FY13:Q1	FY13:Q4			550
CG Station Vallejo	FY13:Q1	FY13:Q4			250
CG Station Morro Bay	FY13:Q1	FY13:Q4			200

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	32,222	4,846	1,000	1,000	39,068
Obligation	28,835	4,846	1,000	1,000	35,681
Expenditure	28,835	4,846	1,000	1,000	35,681
<b><u>Breakdown of Project Expenditures</u></b>					
Survey, Design & Engineering	28,835	4,846	1,000	1,000	35,681

U. S. Coast Guard - FY 2013 Congressional Justification

**Shore Infrastructure Survey and Design**

**\$1,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<u>Survey, Design &amp; Engineering</u>	
Survey & Design Project Management	100
CG Sector Columbia River Astoria Housing	250
CG Station Vallejo	250
CG Sector Columbia River UPH	200
CG Station Morro Bay	200
<b>FY 2013 Cost Estimate Project Total:</b>	<b>1,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	118	118
Marine Safety	92	88
Aids to Navigation	174	176
Ice Operations	18	14
Marine Environmental Protection	25	23
Living Marine Resources	89	93
Drug Interdiction	115	112
Migrant Interdiction	71	68
Other Law Enforcement	13	12
Ports, Waterways & Coastal Security	220	233
Defense Readiness	65	63
<b>Mission-Program Allocation Total:</b>	<b>1,000</b>	<b>1,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project will comply with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Shore AC&I Waterways ATON Infrastructure** **\$1,000**

**Project Description, Justification and Scope**

This request provides funding to establish, maintain and improve transportation safety on Federal waterways through construction and improvements to buoys and structures which assist in navigation. Waterways infrastructure projects require an annual base funding level to respond to requirements from expanded U.S. Army Corps of Engineers (ACOE) activity and aging/damaged aids to navigation (AtoN).

This request will fund projects that are critical to safe and efficient maritime transportation. Projected projects include construction of buoys and structures in the following locations: Pleasant River, ME; Port Canaveral and Port Manatee, FL; Mobile, AL; Gulfport, MS; Port Charles, LA; Anaheim Bay and Mission Bay, CA; Puget Sound, WA; and Sumner Strait, AK.

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
FY 2012					
Construction of Aids to Navigation			FY12:Q3	FY13:Q4	730
Survey and Design	FY12:Q1	FY12:Q3			250
Project Management	FY12:Q1	FY12:Q3	FY12:Q3	FY13:Q4	20
FY 2013					
Construction of Aids to Navigation			FY13:Q2	FY14:Q4	730
Survey and Design	FY13:Q1	FY13:Q3			250
Project Management	FY13:Q1	FY13:Q3	FY13:Q2	FY14:Q2	20

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	34,296	4,264	1,000	1,000	40,560
Obligation	32,682	4,264	1,000	1,000	38,946
Expenditure	32,682	4,264	1,000	1,000	38,946
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	30,104	3,444	730	730	35,008
Survey, Design & Engineering	1,723	800	250	250	3,023
Project Management	855	20	20	20	915



U. S. Coast Guard - FY 2013 Congressional Justification

**Shore AC&I Waterways ATON Infrastructure**

**\$1,000**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Construction of fixed structures / acquisition of equipment	730
<b><u>Survey, Design &amp; Engineering</u></b>	
Fixed structures	250
<b><u>Project Management</u></b>	
Inspections	20
<b>FY 2013 Cost Estimate Project Total:</b>	<b>1,000</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	-	-
Marine Safety	-	-
Aids to Navigation	1,000	1,000
Ice Operations	-	-
Marine Environmental Protection	-	-
Living Marine Resources	-	-
Drug Interdiction	-	-
Migrant Interdiction	-	-
Other Law Enforcement	-	-
Ports, Waterways & Coastal Security	-	-
Defense Readiness	-	-
<b>Mission-Program Allocation Total:</b>	<b>1,000</b>	<b>1,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Major Acquisition Systems Infrastructure** **\$49,411**

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**Project Description, Justification and Scope**

This request supports shore facility infrastructure modifications, upgrades, and new construction associated with homeporting new or modified cutters, boats, and aircraft. The project also supports infrastructure modifications, upgrades, and new construction to provide logistics support for new or modified cutters, boats, and aircraft. The work accomplished in this acquisition project in FY 2011 and prior years was formerly executed under “Deepwater Logistics.”

**Facility and Infrastructure Upgrades** – Funding in FY 2013 makes progress toward completing the following facility upgrades and infrastructure improvements:

- **Pier, support facility and shore power modifications to support three FRC homeports, which will accommodate a total of six FRCs.** The funding will support the design and construction of homeport facility additions, improvements, and renovations, at three locations: South Portland, ME; Atlantic Beach, NC; and Cape May, NJ. The funding provides improvements such as electrical upgrades, dredging to accommodate deeper drafts of the new cutters, structural improvements to the piers to accommodate larger loads, and shore facilities for storage, maintenance, and other in-port activities associated with the arrival of the new FRCs. These three locations are essential to the overall operational force laydown, and need to be modified in order to accommodate the new FRCs. This funding request provides for facilities to meet asset delivery schedules and minimum facilities requirements based on the FRCs dimensions, shore-tie requirements, operational needs, crewing status, and maintenance schedules. The funding request for the FRC homeport in Cape May, NJ is accelerated in order to align with a Major Shore AC&I project at the same location. This will minimize disruption to ongoing operations, and capitalize on synergies in contracting, design, and construction efforts between the two projects, and lower overall costs in that location, compared to doing these projects separately.
- **New facility for MPA aircraft-specific maintenance training and Mission System Pallet (MSP) maintenance training at Aviation Technical Training Center (ATTC) in Elizabeth City, NC.** This funding will provide training facilities for in-house training of aviation maintenance personnel on both the actual MPA airframe and associated systems. This building is essential to training for USCG personnel on MSPs for the MPA. No ground facilities currently exist to conduct this training. The proper maintenance of the MSPs is crucial to the operational effectiveness and availability of the multi-mission MPA. The MSP is a portable suite of electronic equipment that enables the aircrew to compile data from the aircraft’s multiple integrated sensors to transmit and receive classified and unclassified information from other assets including other aircraft, surface vessels and shore facilities. This procurement is separate from the purchase of the MPA training aides that this building will house.
- **New hangar for MPA depot-level maintenance at the Aviation Logistics Center (ALC) in Elizabeth City, NC.** This project provides a new three-bay hangar to perform depot-level maintenance on the new HC-144A MPA. ALC will have a steadily increasing depot-level maintenance workload as more MPAs are delivered to the USCG. These aircraft have a different

**Major Acquisition Systems Infrastructure**

**\$49,411**

facilities footprint compared to the aircraft they are replacing. This project will allow for the efficient and effective execution of MPA programmed depot-level maintenance at ALC.

- **Facility infrastructure modifications to support MPAs at the Aviation Logistics Center (ALC) in Elizabeth City, NC.** This project modifies a current maintenance work-space at ALC into a Mission System Integration Laboratory and secure-space for maintenance and storage of classified materials and equipment. These are new maintenance requirements based upon the acquisition of the MPA. The project also funds the reestablishment of the existing tubing shop that will be displaced by the project.
- **Provide engineering studies and analyses for future-year facilities projects covered under this acquisition program.** This funding will help to establish a 5-year window of planning documents in order to properly budget for homeport decisions in association with future asset deliveries. This will also help to more effectively integrate homeporting decisions for different classes of cutters and aircraft over the long-term planning horizon.
- **Shore infrastructure modifications to support RB-Ms.** This funding is for necessary upgrades associated with delivery of new RB-Ms to various USCG small boat stations across the country. The improvements are generally related to length of the current docks, improvements to floating docks, improvements and upgrades to electrical shore ties, and structural modifications to accommodate the larger, more complex systems on the RB-Ms.

**COST ESTIMATE OF WORK TO BE FUNDED THIS FISCAL YEAR 2013:**

ITEM	QUANTITY	TOTAL (\$K)
Facilities	Job	<u>\$49,411</u>
	<b>Total</b>	<b>\$49,411</b>

The list below provides an outline of facility upgrades completed under Deepwater Logistics:

**Facilities Upgrades**

- Design for Hangar, Off-Cycle Crew Support Unit (OCCSU) Building & Pier Upgrades
- Aviation Training Center (ATC) Mobile Hangar Construction (Phase I)
- Environmental Assessment for Alameda, CA
- Communications Area Master Station Atlantic (CAMSLANT) Facility Expansion Design
- Training Center Petaluma Building Rehabilitation and Expansion (Phase I)
- Pacific Area/District 11 Command Center Facility Upgrades
- CAMSLANT Facility Expansion Construction
- Pier/shore tie upgrades at Alameda, CA
- ATC Mobile Hangar Construction (Phase 2)
- Various facility upgrades for C4ISR equipment installs
- Completion of Phase 1 Bldg 500 Rehabilitation at TRACEN Petaluma
- Design of OCCSU Building at Alameda, CA
- Upgrade of NSC shore ties at Alameda, CA
- Upgrade of NSC pier facilities at Alameda, CA

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Major Acquisition Systems Infrastructure \$49,411**

Construct MPA Simulator Building ATC Mobile, AL  
 Upgrade/dredging of NSC waterfront at Alameda, CA  
 Stand-up of Deepwater Facility at TISCOM  
 Stand-up of Deepwater Facility at C2CEN  
 Upgrade of Naval Engineering Support Unit NSC maintenance facilities at Alameda, CA  
 Deepwater Systems Integration Project Office Move to Jemal Building, Washington, DC  
 FRC Miami Homeport Preparations – Phase 1  
 Engineering and Environmental Assessments of Deepwater Homeports & Aviation Sites

**CONTRACTORS:**

All Major Acquisition Systems Infrastructure projects are executed by the Coast Guard with technical oversight provided by the Shore Infrastructure Logistics Center, the Facilities Design and Construction Center, and Civil Engineering Units located around the United States. Each project is contracted to a construction contractor for execution.

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total</b>
	<b>Design Work</b>		<b>Project Work</b>		<b>Estimate</b>
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Cost</u></b>
FY 2012					
Facilities			FY2012:Q1	FY2014:Q4	81,500
<hr/>					
FY 2013					
Facilities			FY2013:Q1	FY2015:Q4	49,411

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation			81,500	49,411	130,911
Obligation			54,610	48,225	102,835
Expenditure			7,550	21,136	28,686
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition			3,650	21,136	24,786
Survey, Design & Engineering			3,900		3,900

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Major Acquisition Systems Infrastructure**

**\$49,411**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
FRC Homeports #7, #8, #10 [South Portland, ME; Atlantic Beach, NC; Cape May, NJ]	17,000
ATTC MPA & Pallet Maintenance Training Building [Elizabeth City, NC]	12,000
Aviation Logistics Center MPA Maintenance Hangar [Elizabeth City, NC]	17,000
MPA Facilities Upgrades at Aviation Logistics Center [Elizabeth City, NC]	500
Response Boat - Medium (RB-M) Facilities Modifications [various locations]	800
Engineering/Environmental Studies	2,111
<b>FY 2013 Cost Estimate Project Total:</b>	<b>49,411</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b><u>Budget Allocation</u></b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	9,540	5,847
Marine Safety	7,510	4,368
Aids to Navigation	14,480	8,702
Ice Operations	1,640	697
Marine Environmental Protection	2,050	1,157
Living Marine Resources	7,160	4,598
Drug Interdiction	9,270	5,519
Migrant Interdiction	5,850	3,377
Other Law Enforcement	1,000	588
Ports, Waterways & Coastal Security	17,690	11,493
Defense Readiness	5,310	3,065
<b>Mission-Program Allocation Total:</b>	<b>81,500</b>	<b>49,411</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project is being conducted in compliance with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Minor AC&I Shore Construction Projects** **\$5,000**

**Project Description, Justification and Scope**

This request provides funds to complete minor AC&I shore facility construction projects. These projects are typically less complex and require less advance planning than major shore projects. Funds will be used to complete minor projects that have costs estimates which exceed the construction authority provided in the Operating Expense appropriation. For example, this may include:

- Emergency repair projects which have cost estimates that are greater than 50% of the plant replacement value;
- Minor facility improvements, which cost more than one million dollars, that are needed to adapt to changing/increased missions.

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Minor AC&I Shore Construction	FY12:Q1	FY12:Q3	FY12:Q2	FY12:Q4	6,292
FY 2013					
Minor AC&I Shore Construction	FY13:Q1	FY13:Q3	FY13:Q2	FY13:Q4	5,000

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	23,880	3,198	6,292	5,000	38,370
Obligation	23,880	1,200	6,292	5,000	36,372
Expenditure	23,880		6,292	5,000	35,172
<b><u>Breakdown of Project Expenditures</u></b>					
Construction / Acquisition	21,810		6,292	5,000	33,102
Survey, Design & Engineering	2,070				2,070

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Minor AC&I Shore Construction	5,000
<b>FY 2013 Cost Estimate Project Total:</b>	<b>5,000</b>

U. S. Coast Guard - FY 2013 Congressional Justification

**Minor AC&I Shore Construction Projects**

**\$5,000**

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	739	592
Marine Safety	576	442
Aids to Navigation	1,095	881
Ice Operations	111	70
Marine Environmental Protection	159	117
Living Marine Resources	560	465
Drug Interdiction	726	558
Migrant Interdiction	449	342
Other Law Enforcement	81	60
Ports, Waterways & Coastal Security	1,385	1,163
Defense Readiness	411	310
<b>Mission-Program Allocation Total:</b>	<b>6,292</b>	<b>5,000</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This project will comply with the National Environmental Policy Act (NEPA).

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**AC&I Core**

**\$600**

**Project Description, Justification and Scope**

This funding is necessary to cover costs associated with project shared service and training activities for major acquisition projects. The primary initiatives include Acquisition Project Office shared services support, contractor support services, records storage and training. The funding allows the Coast Guard to maintain an effective acquisition process by providing AC&I resources that are not project-specific. Resources are needed to maintain core competencies and capabilities necessary to execute assigned workload while meeting various requirements established in the Chief Financial Officer Act, Clinger-Cohen Act and OMB Circular A-76.

**Significant Changes**

No significant changes.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Management Support			FY12:Q1	FY12:Q4	424
Human Resource Requirements			FY12:Q1	FY12:Q4	88
Project Record Storage			FY12:Q1	FY12:Q4	70
Management Travel, Support, Supplies			FY12:Q1	FY12:Q4	18
FY 2013					
Management Support			FY13:Q1	FY13:Q4	424
Human Resource Requirements			FY13:Q1	FY13:Q4	88
Project Record Storage			FY13:Q1	FY13:Q4	70
Management Travel, Support, Supplies			FY13:Q1	FY13:Q4	18

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011</u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	8,555	509	600	600	10,264
Obligation	8,459	509	600	600	10,168
Expenditure	8,101	506	579	597	9,783
<b><u>Breakdown of Project Expenditures</u></b>					
Project Management	8,101	506	579	597	9,783



**AC&I Core**

**\$600**

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Construction / Acquisition</u></b>	
Contractor Support	424
Human Resource Requirements	88
Project Record Storage	70
Management Travel, Support and Supplies	18
<b>FY 2013 Cost Estimate Project Total:</b>	<b>600</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b>Budget Allocation</b>	
	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>
Search and Rescue	76	40
Marine Safety	18	6
Aids to Navigation	32	9
Ice Operations	4	6
Marine Environmental Protection	8	4
Living Marine Resources	69	122
Drug Interdiction	158	202
Migrant Interdiction	8	75
Other Law Enforcement	99	31
Ports, Waterways & Coastal Security	103	48
Defense Readiness	25	57
<b>Mission-Program Allocation Total:</b>	<b>600</b>	<b>600</b>

**Compliance with Public Laws, Regulations, Standards & Executive Orders**

This funding request lists requirements that are in accordance with Appropriations laws and the Chief Financial Officer Act.

**U. S. Coast Guard**  
**Acquisition, Construction & Improvements**  
**FY 2013 Congressional Justification**  
(Dollars in Thousands)

**Direct Personnel Costs** **\$116,798**

**Project Description, Justification and Scope**

This request funds the salaries, compensation and support costs (including annual pay raise and COLA) for personnel who manage, execute and administer multi-year funded projects within the Acquisition, Construction and Improvements (AC&I) Program. These personnel will support projects requested in this budget submission, as well as prior year funded AC&I projects, by performing planning, design, engineering, contracting, project management, quality assurance and logistics support activities. This ensures the products and services acquired through the AC&I program are completed on time, on budget and in compliance with performance requirements.

The requested funding level will support a total of 842 FTE (an increase of 57 FTE from the FY 2012 Enacted level). These personnel will support projects requested in this budget submission, as well as prior year funded AC&I projects, by performing planning, design, engineering, contracting, project management, quality assurance and logistics support activities. This ensures the products and services acquired through the AC&I program are completed on time, within budget, and in compliance with performance requirements.

**Significant Changes**

The \$7 million increase from the FY 2012 enacted level reflects an increase of 57 FTE for the AC&I personnel account. This additional funding better aligns FTE to FTP by increasing the FTE to 842 while simultaneously reducing FTP to 880 to address misalignment of FTE and FTP identified during FY2011. The increased FTE accounts for the anticipated vacancy rate associated with the Coast Guard’s Direct Hiring Authority for billets funded from this account. The previous FTE and FTP allocations did not account for the vacancy rate associated with the Coast Guard’s Direct Hiring Authority provided in the *2010 Coast Guard Authorization Act*.

**Project Schedule**

<b><u>Project Description</u></b>	<b>Dates by Fiscal Year &amp; Quarter</b>				<b>Total Estimate Cost</b>
	<b>Design Work</b>		<b>Project Work</b>		
	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	<b><u>Initiated</u></b>	<b><u>Completed</u></b>	
FY 2012					
Direct Personnel Costs			FY12:Q1	FY12:Q4	109,592
FY 2013					
Direct Personnel Costs			FY13:Q1	FY13:Q4	116,798

*U. S. Coast Guard - FY 2013 Congressional Justification*

**Direct Personnel Costs**

**\$116,798**

**Schedule of Project Funding**

	<b>Project Funds</b>				<b>Total</b>
	<b><u>FY 2010 &amp; Prior</u></b>	<b><u>FY 2011<sup>1</sup></u></b>	<b><u>FY 2012</u></b>	<b><u>FY 2013</u></b>	
Appropriation	559,557	116,100	109,592	116,798	902,047
Obligation	559,557	116,100	109,592	116,798	902,047
Expenditure	559,557	116,100	109,592	116,798	902,047
<hr/>					
<b><u>Breakdown of Project Expenditures</u></b>					
Direct Personnel Costs	559,557	116,100	109,592	116,798	902,047

<sup>1</sup>Includes \$10.5 million Congressional reprogramming.

**Cost Estimate Detail & Changes**

<b><u>Funding Requirement Description</u></b>	<b><u>FY 2013 Cost Estimate</u></b>
<b><u>Other Costs</u></b>	
Direct Personnel Costs	116,798
<b>FY 2013 Cost Estimate Project Total:</b>	<b>116,798</b>

**Budget Allocation to Mission-Program**

<b><u>U. S. Coast Guard Mission-Program</u></b>	<b><u>Budget Allocation FY 2013</u></b>
Search and Rescue	7,795
Marine Safety	1,054
Aids to Navigation	1,727
Ice Operations	1,125
Marine Environmental Protection	719
Living Marine Resources	23,721
Drug Interdiction	39,637
Migrant Interdiction	14,399
Other Law Enforcement	6,206
Ports, Waterways & Coastal Security	9,282
Defense Readiness	11,133
<b>Mission-Program Allocation Total:</b>	<b>116,798</b>

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements  
Vessels  
Funding Schedule  
(Dollars in Thousands)**

<b>Vessels &amp; Critical Infrastructure</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel (Basic Allowance for Housing)	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	14,819	7,412	9,631	2,219
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	103,736	51,881	67,417	15,536
25.2	Other services	118,555	59,293	77,048	17,755
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	74,097	37,058	48,155	11,097
31.0	Equipment	1,037,359	518,812	674,167	155,355
32.0	Land and structures	133,376	66,704	86,677	19,973
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Vessels</b>		<b>\$ 1,481,942</b>	<b>\$ 741,160</b>	<b>\$ 963,095</b>	<b>\$ 221,935</b>
<b>Full Time Equivalents</b>		-	-	-	-

## Summary Justification and Explanation of Changes

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 14,819	\$ 7,412	\$ 9,631	\$ 2,219

Travel includes all costs of transportation of persons, subsistence of travelers and incidental travel expenses in accordance with Federal travel regulations. Specifically, funds transport of personnel in support of training, project management and oversight of the Survey and Design, National Security Cutter, Offshore Patrol Cutter, Fast Response Cutter, Cutter Boats and Arctic Vessel. Funding in FY 2013 reflects the anticipated need.

### Advisory and assistance services

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 103,736	\$ 51,881	\$ 67,417	\$ 15,536

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) and other agencies within the Federal Government. Funding in FY 2013 reflects the anticipated need.

### Other services

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 118,555	\$ 59,293	\$ 77,048	\$ 17,755

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of GPRA and other performance measurement initiatives. Funding in FY 2013 reflects the anticipated need.

### Supplies and materials

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 74,097	\$ 37,058	\$ 48,155	\$ 11,097

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters and boats, supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Funding in FY 2013 reflects the anticipated need.

**Equipment**

<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>2012 - 2013</b>
<b>Actual</b>	<b>Enacted</b>	<b>Requested</b>	
<b>Obligations</b>	<b>Budget Authority</b>	<b>Budget Authority</b>	<b>Change</b>
\$ 1,037,359	\$ 518,812	\$ 674,167	\$ 155,355

This object class covers the purchase of capitalized and non-capitalized assets. Funding in FY 2013 reflects the anticipated need.

**Land and structures**

<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>2012 - 2013</b>
<b>Actual</b>	<b>Enacted</b>	<b>Requested</b>	
<b>Obligations</b>	<b>Budget Authority</b>	<b>Budget Authority</b>	<b>Change</b>
\$ 133,376	\$ 66,704	\$ 86,677	\$ 19,973

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Funding in FY 2013 reflects the anticipated need.

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Acquisition, Construction and Improvements**  
**Aircraft**  
**Funding Schedule**  
(Dollars in Thousands)

Aircraft		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel (Basic Allowance for Housing)	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	821	1,478	771	(707)
22.0	Transportation of things	140	251	131	(120)
23.1	GSA rent	-	-	-	-
23.2	Other rent	129	233	121	(112)
23.3	Communication, utilities, and misc charges	48	87	46	(41)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	10,776	19,397	10,123	(9,274)
25.2	Other services	12,233	22,020	11,492	(10,528)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	85	153	80	(73)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	7,602	13,684	7,142	(6,542)
31.0	Equipment	102,317	184,181	96,124	(88,057)
32.0	Land and structures	12,717	22,890	11,948	(10,942)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Aircraft</b>		<b>\$ 146,868</b>	<b>\$ 264,374</b>	<b>\$ 137,978</b>	<b>\$ (126,396)</b>
<b>Full Time Equivalents</b>		-	-	-	-

## Summary Justification and Explanation of Changes

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 821	\$ 1,478	\$ 771	\$ (707)

Travel includes all costs of transportation of persons, subsistence of travelers and incidental travel expenses in accordance with Federal travel regulations. Specifically, funds transport of personnel in support of training, project management and oversight of the Maritime Patrol Aircraft and Long Range Surveillance Aircraft (C-130H/J) projects. Funding in FY 2013 reflects the anticipated need.

### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 140	\$ 251	\$ 131	\$ (120)

Transportation of things includes all costs of the care of such things while in process of being transported and other services incident to the transportation of things. Specifically, funding provides for shipment of goods, equipment, supplies and materials to support completion of AC&I projects. Funding in FY 2013 reflects the anticipated need.

### Other rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 129	\$ 233	\$ 121	\$ (112)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g., office space, hangar facilities, equipment storage and maintenance facilities, etc.). Funding in FY 2013 reflects the anticipated need.

### Communication, utilities, and misc charges

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 48	\$ 87	\$ 46	\$ (41)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for facility utilities, fuel requirements, and postal costs. Funding in FY 2013 reflects the anticipated need.

### Advisory and assistance services

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 10,776	\$ 19,397	\$ 10,123	\$ (9,274)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) and other agencies within the Federal Government. Funding in FY 2013 reflects the anticipated need.



**Other services**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$	12,233	\$ 22,020	\$ 11,492	\$ (10,528)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of GPRA and other performance measurement initiatives. Funding in FY 2013 reflects the anticipated need.

**Research and development**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$	85	\$ 153	\$ 80	\$ (73)

Contracts for the conduct of basic and applied research and development. Funding in FY 2013 reflects the anticipated need.

**Supplies and materials**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$	7,602	\$ 13,684	\$ 7,142	\$ (6,542)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Funding in FY 2013 reflects the anticipated need.

**Equipment**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$	102,317	\$ 184,181	\$ 96,124	\$ (88,057)

This object class covers the purchase of capitalized and non-capitalized assets. Funding in FY 2013 reflects the anticipated need.

**Land and structures**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$	12,717	\$ 22,890	\$ 11,948	\$ (10,942)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Funding in FY 2013 reflects the anticipated need.

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Acquisition, Construction and Improvements**  
**Other**  
**Funding Schedule**  
(Dollars in Thousands)

<b>Other Equipment</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel (Basic Allowance for Housing)	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	1,103	917	598	(319)
22.0	Transportation of things	188	156	102	(54)
23.1	GSA rent	-	-	-	-
23.2	Other rent	174	144	94	(50)
23.3	Communication, utilities, and misc charges	65	54	35	(19)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	14,483	12,033	7,855	(4,178)
25.2	Other services	16,442	13,660	8,917	(4,743)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	114	95	62	(33)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	10,218	8,489	5,542	(2,947)
31.0	Equipment	137,523	114,260	74,586	(39,674)
32.0	Land and structures	17,093	14,203	9,271	(4,932)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Other Equipment</b>		<b>\$ 197,403</b>	<b>\$ 164,011</b>	<b>\$ 107,062</b>	<b>\$ (56,949)</b>
<b>Full Time Equivalents</b>		-	-	-	-

## Summary Justification and Explanation of Changes

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 1,103	\$ 917	\$ 598	\$ (319)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Funding in FY 2013 reflects the anticipated need.

### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 188	\$ 156	\$ 102	\$ (54)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Funding in FY 2013 reflects the anticipated need.

### Other rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 174	\$ 144	\$ 94	\$ (50)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Funding in FY 2013 reflects the anticipated need.

### Communication, utilities, and misc charges

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 65	\$ 54	\$ 35	\$ (19)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Funding in FY 2013 reflects the anticipated need.

### Printing and reproduction

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ -	\$ -	\$ -	\$ -

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. Funding includes charges associated with publication of Coast Guard training manuals, operational instructions, reports and other Coast Guard directives. Funding in FY 2013 reflects the anticipated need.

**Advisory and assistance services**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 14,483	\$ 12,033	\$ 7,855	\$ (4,178)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) and other agencies within the Federal Government. Funding in FY 2013 reflects the anticipated need.

**Other services**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 16,442	\$ 13,660	\$ 8,917	\$ (4,743)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of GPRA and other performance measurement initiatives. Funding in FY 2013 reflects the anticipated need.

**Research and development**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 114	\$ 95	\$ 62	\$ (33)

Contracts for the conduct of basic and applied research and development. Funding in FY 2013 reflects the anticipated need.

**Supplies and materials**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 10,218	\$ 8,489	\$ 5,542	\$ (2,947)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Funding in FY 2013 reflects the anticipated need.

**Equipment**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 137,523	\$ 114,260	\$ 74,586	\$ (39,674)

This object class covers the purchase of capitalized and non-capitalized assets. Funding in FY 2013 reflects the anticipated need.

**Land and structures**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	\$ 17,093	\$ 14,203	\$ 9,271	\$ (4,932)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Funding in FY 2013 reflects the anticipated need.

## H. PPA Budget Justifications

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements  
Shore Facilities & Aids To Navigation  
Funding Schedule  
(Dollars in Thousands)**

Shore Facilities & Aids To Navigation		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.6	Military personnel (Basic Allowance for Housing)	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	896	972	532	(440)
22.0	Transportation of things	152	165	90	(75)
23.1	GSA rent	-	-	-	-
23.2	Other rent	141	153	84	(69)
23.3	Communication, utilities, and misc charges	53	57	31	(26)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	11,760	12,752	6,987	(5,765)
25.2	Other services	13,350	14,476	7,931	(6,545)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	93	101	55	(46)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	8,296	8,996	4,929	(4,067)
31.0	Equipment	111,660	121,081	66,339	(54,742)
32.0	Land and structures	13,878	15,050	8,247	(6,803)
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Shore &amp; Aids to Navigation</b>		<b>\$ 160,279</b>	<b>\$ 173,803</b>	<b>\$ 95,225</b>	<b>\$ (78,578)</b>
<b>Full Time Equivalents</b>		-	-	-	-

## Summary Justification and Explanation of Changes

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 896	\$ 972	\$ 532	\$ (440)

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Funding in FY 2013 reflects the anticipated need.

### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 152	\$ 165	\$ 90	\$ (75)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Specifically, funding supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves.

### Other rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 141	\$ 153	\$ 84	\$ (69)

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.).

### Communication, utilities, and misc charges

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 53	\$ 57	\$ 31	\$ (26)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. Specifically, funding includes data connectivity costs for Coast Guard shore facilities, cutters, and aircraft, utility costs including shore facility utilities and cutter, boat and aircraft fuel requirements, and postal costs.

### Advisory and assistance services

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 11,760	\$ 12,752	\$ 6,987	\$ (5,765)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) and other agencies within the Federal Government. Funding in FY 2013 reflects the anticipated need.

**Other services**

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 13,350	\$ 14,476	\$ 7,931	\$ (6,545)

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of GPRA and other performance measurement initiatives. Funding in FY 2013 reflects the anticipated need.

**Research and development**

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 93	\$ 101	\$ 55	\$ (46)

Contracts for the conduct of basic and applied research and development. Funding in FY 2013 reflects the anticipated need.

**Supplies and materials**

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 8,296	\$ 8,996	\$ 4,929	\$ (4,067)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Funding in FY 2013 reflects the anticipated need.

**Equipment**

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 111,660	\$ 121,081	\$ 66,339	\$ (54,742)

This object class covers the purchase of capitalized and non-capitalized assets. Funding in FY 2013 reflects the anticipated need.

**Land and structures**

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 13,878	\$ 15,050	\$ 8,247	\$ (6,803)

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Funding in FY 2013 reflects the anticipated need.

## H. PPA Budget Justifications

**Department of Homeland Security  
U. S. Coast Guard  
Acquisition, Construction and Improvements  
Personnel & Management  
Funding Schedule  
(dollars in thousands)**

<b>Personnel &amp; Related Support</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>Object Classes</b>					
11.1	Full-time permanent	43,093	43,846	46,289	2,443
11.3	Other than full-time permanent	524	533	563	30
11.5	Other personnel compensation	1,215	1,236	1,305	69
11.6	Military personnel (Basic Allowance for Housing)	10,731	11,899	12,618	719
11.7	Military personnel	27,618	28,625	30,354	1,729
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	11,778	11,984	12,652	668
12.2	Military personnel benefits	3,312	3,719	3,942	223
13.0	Benefits-former	187	190	199	9
21.0	Travel	93	46	53	7
22.0	Transportation of things	16	8	9	1
23.1	GSA rent	-	-	-	-
23.2	Other rent	15	7	8	1
23.3	Communication, utilities, and misc charges	5	3	3	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	1,220	599	695	96
25.2	Other services	1,385	680	789	109
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	10	5	5	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	861	422	490	68
31.0	Equipment	11,585	5,684	6,604	920
32.0	Land and structures	1,440	706	820	114
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Personnel</b>		<b>\$ 115,088</b>	<b>\$ 110,192</b>	<b>\$ 117,398</b>	<b>\$ 7,206</b>
<b>Full Time Equivalents</b>		<b>826</b>	<b>785</b>	<b>842</b>	<b>-</b>



## Summary Justification and Explanation of Changes

### Salaries and Benefits

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 98,458	\$ 102,032	\$ 107,922	\$ 5,890

Currently, all salaries, benefits, and support for the military and civilian personnel who administer AC&I contracts are funded by the AC&I appropriation, whereas 97 percent of the Coast Guard's personnel is funded from the OE appropriation. AC&I has a specific annual appropriation to fund "personnel compensation and benefits and government program management related costs." Annual AC&I personnel compensation appropriation, rather than the multi-year project funds, must be used to fund all AC&I related personnel costs. Funding includes the proposed pay raise (1.7 percent for military and .5 percent for civilians), medical benefits, other mandatory personnel entitlements.

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 93	\$ 46	\$ 53	\$ 7

Travel funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. Funding in FY 2013 reflects the anticipated need.

### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 16	\$ 8	\$ 9	\$ 1

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. Specifically, funding supports the shipment of military member's household goods in conjunction with Permanent Change of Station (PCS) moves. Funding in FY 2013 reflects the anticipated need.

### Other rent

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 15	\$ 7	\$ 8	\$ 1

Other rent includes all payments to a non-Federal source for rental space, land, and structures. Funding supports lease renewals for facilities (e.g. office space, waterfront/mooring facilities, equipment storage and maintenance facilities, etc.). Funding in FY 2013 reflects the anticipated need.

### Advisory and assistance services

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 1,220	\$ 599	\$ 695	\$ 96

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) and other agencies within the Federal Government. Funding in FY 2013 reflects the anticipated need.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 1,385	\$ 680	\$ 789	\$ 109

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Specifically, funding supports contracted consultant services such as training manuals, architectural and engineering services, independent/third-party analysis of Coast Guard programs in support of GPRA and other performance measurement initiatives. Funding in FY 2013 reflects the anticipated need.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 861	\$ 422	\$ 490	\$ 68

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. Specifically, funding supports procurement of consumable supplies aboard Coast Guard operational and shore support units including tools, spare part inventories for cutters, boats, aircraft, and supporting computer and communication systems, fuel required to conduct Coast Guard operations, janitorial materials, subsistence and administrative supplies. Funding in FY 2013 reflects the anticipated need.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 11,585	\$ 5,684	\$ 6,604	\$ 920

This object class covers the purchase of capitalized and non-capitalized assets. Funding in FY 2013 reflects the anticipated need.

**Land and structures**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 1,440	\$ 706	\$ 820	\$ 114

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. Funding in FY 2013 reflects the anticipated need.

## I. Changes in Full-Time Equivalents

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Acquisition, Construction and Improvements**  
Changes in Full-Time Equivalents

	FY 2011	FY 2012	FY 2013
<b>BASE: Year-end FTE from Prior Year</b>	<b>735</b>	<b>826</b>	<b>785</b>
<b>INCREASES:</b>			
<b>Increase #1: AC&amp;I personnel management.</b>	<b>91</b>	<b>0</b>	<b>57</b>
<b>Description: Management and oversight of AC&amp;I projects.</b>			
<b>Subtotal, Increases:</b>	<b>91</b>	<b>0</b>	<b>57</b>
<b>DECREASES:</b>			
<b>Decrease #1: AC&amp;I personnel management.</b>	<b>0</b>	<b>-41</b>	<b>0</b>
<b>Description: Management and oversight of AC&amp;I projects.</b>			
<b>Subtotal, Decreases:</b>	<b>0</b>	<b>-41</b>	<b>0</b>
<b>Year-end Enacted / Estimated FTEs</b>	<b>826</b>	<b>785</b>	<b>842</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>91</b>	<b>-41</b>	<b>57</b>

\*The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

# Department of Homeland Security

*United States Coast Guard*

*Alteration of Bridges*

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Fiscal Year 2013

Congressional Justification



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**U. S. Coast Guard**  
**Alteration of Bridges**

**I. Appropriation Overview**

**A. Mission Statement for Alteration of Bridges:**

Alteration of unreasonably obstructive bridges supports navigational safety and freedom of mobility to facilitate commerce, emergency response and U.S. Government operations by providing sufficient clearances for the type of vessels that transit beneath bridges. Alterations also deter waterway and highway/railway closures due to accidents.

**B. Budget Activities:**

Funding for Alteration of Bridges supports the Coast Guard's Aids to Navigation mission.

**C. Budget Request Summary:**

The Coast Guard is not requesting funding for Alteration of Bridges in FY 2013.





### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Alteration of Bridges**  
Program Performance Justification  
(Dollars in Thousands)

#### PPA I: ALTERATION OF BRIDGES

	<b>Perm</b>		
	<b>Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual</b>	...	...	...
<b>2012 Enacted</b>	...	...	...
2013 Adjustments-to-Base			...
<b>2013 Current Services</b>	...	...	...
2013 Program Change	...	...	...
<b>2013 Request</b>	...	...	...

The Coast Guard does not request funding for this activity in FY 2013.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The Alteration of Bridges program funds the Federal Government's share of the costs for altering or removing bridges determined to be unreasonable obstructions to navigation. Under the Truman-Hobbs Act of 1940 (33 U.S.C. 511-523), the Federal Government shares, with the bridge owner, the cost of altering railroad and publicly-owned highway bridges declared by the Coast Guard to be unreasonable obstructions to navigation. Under the Federal-Aid to Highways Program, unreasonably obstructive highway bridges may be eligible for funding.

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Alteration of Bridges  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2011 Actual Obligations	-	-	-
FY 2012 Enacted Budget Authority	-	-	-
Adjustments-to-Base			
Total Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	-
FY 2013 Requested Budget Authority	-	-	-
2012 to 2013 Total Change	-	-	-



**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Alteration of Bridges**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

<b>Object Classes</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
<b>Total, Personnel Comp. &amp; Benefits</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
Other Objects Classes:					
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Other Object Classes</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Total, Direct Obligations</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
Unobligated balance, start of year		-	-	-	-
Unobligated balance, end of year		-	-	-	-
Recoveries		-	-	-	-
<b>Total Requirements*</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Alteration of Bridges  
PPA I  
Funding Schedule  
(Dollars in Thousands)**

Alteration of Bridges		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012-2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total Direct Obligations</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Full Time Equivalents</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Unobligated balance, start of year		-	-	-	-
Unobligated balance, end of year		-	-	-	-
Recoveries		-	-	-	-
<b>Total Requirements*</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**PPA Mission Statement**

The alteration of unreasonably obstructive bridges supports navigational safety and freedom of mobility to facilitate commerce, emergency response and U.S. Government operations, by providing sufficient clearances for the type of vessels that transit through the bridge.

Summary Justification and Explanation of Changes

Land and structures

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012-2013 Change
\$ -	\$ -	\$ -	\$ -

# Department of Homeland Security

*United States Coast Guard*

*Research, Development, Test and Evaluation*

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Fiscal Year 2013

Congressional Justification





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**U. S. Coast Guard**  
**Research, Development, Test and Evaluation**

**I. Appropriation Overview**

**A. Mission Statement for Research, Development, Test and Evaluation:**

Research, Development, Test and Evaluation (RDT&E) funding allows the Coast Guard to sustain critical mission capabilities through applied research and partnerships with the Department of Homeland Security (DHS), the Department of Defense (DoD), as well as other Federal and private research organizations. The purpose of the Research and Development Program (R&D) is to help identify and examine existing or impending problems in the Coast Guard's operational, regulatory, and support programs and make improvements through solutions based on scientific and technological advances. The RDT&E funding supports risk-reduction expertise and services in the pre-acquisition process of major and non-major acquisition projects.

**B. Budget Activities:**

The RDT&E appropriation sustains program infrastructure and core capabilities, knowledge, skills, experience, and facilities to allow the Coast Guard to maintain a balanced portfolio of projects that supports short, medium, and long range requirements across all missions. Other activities include formulation and oversight of cooperative agreements with relevant professionals in the public and private sectors, such as University Affiliated Research Centers (UARC) and Federally Funded Research & Development Centers (FFRDC). These agreements promote collaboration and leverage expertise and the development of techniques, methods, hardware, and systems that directly contribute to increasing productivity and effectiveness of the Coast Guard's missions.

**C. Budget Request Summary:**

The Coast Guard requests \$19.7 million in FY 2013. RDT&E funding requested in FY 2013 will be used to develop technologies and systems that improve operational presence and response, as well as perform technology assessments to inform the early stages of the acquisition process. With FY 2013 funding, the Coast Guard RDT&E Program will develop a Center for Coast Guard Modeling and Simulation (M&S) by continuing to update and certify critical modeling and simulation tools and develop both engagement and campaign-level M&S capability; as well as conduct research and development in the following areas: command centers and intelligence; prevention and mitigation of oil spills; prevention of aquatic invasive species introduction; sensor optimization, automation, and visualization for aviation, surface, and shore assets; and exploration of key technologies for surface-fleet assets, including energy/green technologies; and exploration of concepts and technologies supporting Coast Guard operations in the Arctic regions.

In addition, funding supports program operations and maintenance costs (e.g., salaries, facility rent, utilities) at the Coast Guard Research and Development Center and the R&D Program's continued collaboration and participation with the research community. Healthy partnerships with other government, academic, and private research entities enable the Coast Guard to leverage research and development resources and foster synergies in scientific fields pertinent to Coast Guard missions.

Prioritized FY 2013 Planned Accomplishments

<b>Priority</b>	<b>FY13 PLANNED ACCOMPLISHMENTS</b>	<b>FY13 Planned Allocation (\$M)</b>	<b>Salary Portion (\$M)</b>
1	Support and Operations	10.63	6.18
2	Arctic Operations	1.22	0.98
3	Pre-Acquisition Exploration for the Surface Fleet	1.01	0.61
4	BWT Systems	0.80	0.53
5	Oil in Ice	1.22	0.85
6	Oil Spill Detection and Response	1.28	0.89
7	Modeling & Simulation	1.50	1.06
8	Sensor Optimization, Automation, and Visualization	0.58	0.33
9	Intelligence	0.50	0.26
10	Alternative Energy/Environmental Analysis	0.75	0.58
11	Other Projects	0.24	0.00
	<b>Total</b>	<b>19.73</b>	<b>12.27</b>

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test and Evaluation  
Summary of FY 2013 Budget Estimates by Program/Project Activity**

(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Research, Development, Test and Evaluation	92	\$ 20,536	101	\$ 27,779	101	\$ 19,728	-	\$ (8,051)	-	\$ -	-	\$ (8,051)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>92</b>	<b>\$ 20,536</b>	<b>101</b>	<b>\$ 27,779</b>	<b>101</b>	<b>\$ 19,728</b>	<b>-</b>	<b>\$ (8,051)</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ (8,051)</b>
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	<b>92</b>	<b>\$ 20,536</b>	<b>101</b>	<b>\$ 27,779</b>	<b>101</b>	<b>\$ 19,728</b>	<b>-</b>	<b>\$ (8,051)</b>	<b>-</b>	<b>\$ -</b>	<b>-</b>	<b>\$ (8,051)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test and Evaluation  
Program Performance Justification  
(Dollars in Thousands)**

#### PPA I: RESEARCH, DEVELOPMENT, TEST AND EVALUATION

	<b>Perm</b>		
	<b>Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>101</b>	<b>92</b>	<b>\$20,536</b>
<b>2012 Enacted Budget Authority</b>	<b>101</b>	<b>101</b>	<b>27,779</b>
2012 Adjustments-to-Base	...	...	(8,051)
<b>2013 Current Services</b>	<b>101</b>	<b>101</b>	<b>19,728</b>
2013 Program Change	...	...	...
<b>2013 Requested Budget Authority</b>	<b>101</b>	<b>101</b>	<b>19,728</b>
<b>2012 to 2013 Total Change</b>			<b>(8,051)</b>

The Coast Guard requests \$19.7 million for this activity.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The RDT&E Appropriation funds foundational work for decision-makers of future acquisition, operations, regulatory, and support initiatives before long-term commitments are made through the Acquisition, Construction & Improvements or Operating Expenses appropriations. Knowledge and experience are gained through mission validation, gap analysis, modeling and simulation, requirements validation, operational analysis, market research, alternatives analysis, technology maturity assessments, cost estimation, prototyping, operational assessments, testing, and evaluation.

Funding requirements for the RDT&E Program are grouped into two categories: Coast Guard Mission Research and Operations & Maintenance (e.g., salaries, facility rent, utilities, etc.).

## **V. Exhibits and Other Supporting Materials**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Justification of Proposed Changes in Research, Development, Test and Evaluation**  
**Appropriation Language**

For necessary expenses for applied scientific research, development, test, and evaluation; and for maintenance, rehabilitation, lease, and operation of facilities and equipment; as authorized by law; [\$27,779,000,]\$19,728,000 to remain available until September 30, [2016]2017, of which \$500,000 shall be derived from the Oil Spill Liability Trust Fund to carry out the purposes of section 1012(a)(5) of the Oil Pollution Act of 1990 (33 U.S.C. 2712(a)(5)); Provided, That there may be credited to and used for the purposes of this appropriation funds received from State and local governments, other public authorities, private sources, and foreign countries for expenses incurred for research, development, testing, and evaluation. (*Department of Homeland Security Appropriations Act, 2012.*)



**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test and Evaluation  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	<b>101</b>	<b>92</b>	<b>\$20,536</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>101</b>	<b>101</b>	<b>27,779</b>
<b>Adjustments-to-Base</b>			
Increases			
Annualization of FY 2012 Military Pay Raise	-	-	7
FY 2013 Pay Raise			59
Total Increases	-	-	66
Decreases			
Unmanned Aerial Systems	-	-	(8,000)
Program Support Reduction	-	-	(117)
Total Decreases	-	-	(8,117)
<b>Total Adjustments-to-Base</b>	-	-	<b>(8,051)</b>
<b>FY 2013 Current Services</b>	<b>101</b>	<b>101</b>	<b>19,728</b>
<b>FY 2013 Requested Budget Authority</b>	<b>101</b>	<b>101</b>	<b>19,728</b>
<b>FY 2012 to 2013 Total Change</b>	-	-	<b>(8,051)</b>

**C. Summary of Requirements**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test and Evaluation  
Summary of Requirements  
(Dollars in Thousands)**

	FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		2013 Requested Budget Authority	
	Pos.	FTE	Pos.	FTE	Pos.	FTE
<b>FY 2011 Actual Obligations</b>						
<b>FY 2012 Enacted Budget Authority</b>						
Adjustments-to-Base (See "FY 2012 to FY 2013 Budget Change" for details)						
Transfers						
Increases						
Decreases						
<b>Total Adjustments-to-Base</b>						
<b>FY 2012 Current Services</b>						
Program Changes (See "FY 2012 to FY 2013 Budget Change" for details)						
<b>FY 2013 Requested Budget Authority</b>						
<b>2012 to 2013 Total Change</b>						

Estimates by Program/Project Activity	FY 2012 Enacted Budget Authority		FY 2013 Adjustments-to-Base		FY 2013 Program Change		FY 2013 Requested Budget Authority		2012 to 2013 Total Change	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
I. Research, Development, Test and Evaluation	101	101	-	-	-	-	101	101	-	-
<b>Total</b>	<b>101</b>	<b>101</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>101</b>	<b>101</b>	<b>-</b>	<b>-</b>

**D. Summary of Reimbursable Resources**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test and Evaluation  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		2013 Estimate Requested Budget Authority		Increase/Decrease	
	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount
Department of Homeland Security	-	600	-	600	-	500	-	(100)
Department of the Navy	-	14	-	-	-	1,250	-	1,250
Joint Non-Lethal Weapons Directorate	-	84	-	1,200	-	1,000	-	(200)
Department of Army	-	-	-	1,000	-	750	-	(250)
Other Federal Agencies	-	3,669	-	2,770	-	1,500	-	(1,270)
<b>Total Budgetary Resources</b>	-	4,367	-	5,570	-	5,000	-	(570)

	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		2,013 Requested Budget Authority		Increase/Decrease	
	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount	Pos.	FTE Amount
<b>Obligations by Program/Project Activity</b>								
Visitation Tools	-	-	-	-	-	-	-	-
JNLWD Small Vessel Entanglement	-	84	-	700	-	400	-	(300)
Training of Navy Personnel	-	14	-	-	-	-	-	-
Non-Pyrotechnic Flashbang Grenade (NPPFG)	-	-	-	-	-	-	-	-
GLRI BWT Shore-Based Approval - Test Facility Upgrade	-	1,466	-	-	-	-	-	-
GLRI BWT Shipboard Approval Tests	-	-	-	1,900	-	1,450	-	(450)
Shipboard Compliance of Ballast Water Discharge Standards	-	550	-	150	-	110	-	(40)
GLRI BW Other - Laker Feasibility Study	-	87	-	20	-	20	-	-
GLRI BW Other - Investigation of Ballast Water Treatment's Effect on Corrosion	-	472	-	400	-	260	-	(140)
GLRI BW Other - Asian Carp Tow Boat/Barge Sampling Study	-	644	-	-	-	-	-	-
GLRI BW Other - CSSC Marine Safety Risk Analysis	-	-	-	150	-	1,110	-	960
Low Cost Swimmer Detection System	-	-	-	50	-	-	-	(50)
Response to Oil in Ice	-	200	-	700	-	600	-	(100)
Recovery of Heavy Oil	-	250	-	-	-	-	-	-
Maritime Trace Narcotic Identification/Verification	-	-	-	1,000	-	750	-	(250)
Mobile 10-Print Biometric Field Test	-	600	-	500	-	300	-	(200)
<b>Total Obligations</b>	-	4,367	-	5,570	-	5,000	-	(570)

**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test and Evaluation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1	Full-time permanent	7,395	7,664	7,697	33
11.3	Other than full-time permanent	68	179	180	1
11.5	Other personnel compensation	203	196	197	1
11.6	Military personnel-basic allowance for housing	461	511	517	6
11.7	Military personnel	1,187	1,502	1,517	15
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,991	1,947	1,956	9
12.2	Military personnel benefits	132	160	161	1
13.0	Benefits-former	8	8	8	-
<b>Total, Personnel Comp. &amp; Benefits</b>		<b>\$ 11,445</b>	<b>\$ 12,167</b>	<b>\$ 12,233</b>	<b>\$ 66</b>
Other Objects Classes:		-	-	-	-
21.0	Travel	510	2,100	541	(1,559)
21.7	Lease of Vehicle	11	35	9	(26)
22.0	Transportation of things	84	268	169	(99)
23.1	GSA rent	-	-	-	-
23.2	Other rent	43	137	35	(102)
23.3	Communication, utilities, and misc charges	117	374	96	(278)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	3,020	9,860	2,441	(7,419)
25.2	Other services	567	2,014	290	(1,724)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	3,539	9,500	2,564	(6,936)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	1,005	4,613	1,189	(3,424)
31.0	Equipment	194	178	160	(18)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	1	3	1	(2)
<b>Total, Other Object Classes</b>		<b>\$ 9,091</b>	<b>29,082</b>	<b>7,495</b>	<b>(21,587)</b>
<b>Total Direct Obligations</b>		<b>\$ 20,536</b>	<b>41,249</b>	<b>19,728</b>	<b>(21,521)</b>
<b>Total Requirements</b>		<b>\$ 24,696</b>	<b>27,779</b>	<b>19,728</b>	

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test, and Evaluation - Military  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	2	2	2	-
O-5	-	1	1	-
O-4	3	3	3	-
O-3	7	7	7	-
O-2	-	-	-	-
O-1	-	-	-	-
CWO	1	1	1	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	2	2	2	-
E-6	2	3	3	-
E-5	-	-	-	-
E-4	1	1	1	-
E-3	1	1	1	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>19</b>	<b>21</b>	<b>21</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment EOY	21	21	21	-
<b>FTE<sup>1</sup></b>	<b>19</b>	<b>21</b>	<b>21</b>	<b>-</b>
Headquarters	3	2	2	-
U.S. Field	17	19	19	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>20</b>	<b>21</b>	<b>21</b>	<b>-</b>
<u>Position Data:</u>				
<b>Average Salary, Officer Positions<sup>2</sup></b>	\$ 119,229	\$ 118,689	\$ 118,860	\$ 171
<b>Average Grade, Officer Positions</b>	4	4	4	-
<b>Average Salary, Enlisted Positions<sup>2</sup></b>	\$ 67,152	\$ 67,604	\$ 65,534	\$ (2,070)
<b>Average Grade, Enlisted Positions</b>	6	6	6	-

<sup>1</sup>The Coast Guard manages the military workforce by end strength, not Full Time Equivalent (FTE). The military FTE represented in these numbers are monthly end strengths averaged over the year.

<sup>2</sup>The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular pay grade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets and Officer Candidates.

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Research, Development, Test, and Evaluation - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	3	4	4	-
GS-14	15	14	14	-
GS-13	32	32	32	-
GS-12	15	21	21	-
GS-11	1	1	1	-
GS-10	-	-	-	-
GS-9	3	2	2	-
GS-8	1	1	1	-
GS-7	2	2	2	-
GS-6	1	2	2	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	1	1	1	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>74</b>	<b>80</b>	<b>80</b>	<b>-</b>
Unfilled Positions EOY	6	2	2	-
Total Perm. Employment (Filled Positions) EOY	75	78	78	-
<b>FTE</b>	<b>73</b>	<b>80</b>	<b>80</b>	<b>-</b>
Headquarters	14	5	5	-
U.S. Field	67	75	75	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>81</b>	<b>80</b>	<b>80</b>	<b>-</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b>	n/a	n/a	n/a	n/a
<b>Average Personnel Costs, GS Positions<sup>1</sup></b>	\$ 127,803	\$ 127,803	\$ 134,130	\$ 6,327
<b>Average Grade, GS Positions</b>	13	12	12	(0)

<sup>1</sup>The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays hazardous duty, reemployment annuitant and severance pays, night differential, non-foreign Cost-of-Living Allowance and premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Research, Development, Test and Evaluation**  
**PPA I**  
**Funding Schedule**  
(Dollars in Thousands)

<b>Research, Development, Test and Evaluation</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>Object Classes</b>					
11.1	Full-time permanent	7,395	7,664	7,697	33
11.3	Other than full-time permanent	68	179	180	1
11.5	Other personnel compensation	203	196	197	1
11.6	Military personnel-basic allowance for housing	461	511	517	6
11.7	Military personnel	1,187	1,502	1,517	15
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	1,991	1,947	1,956	9
12.2	Military personnel benefits	132	160	161	1
13.0	Benefits-former	8	8	8	-
21.0	Travel	510	2,100	541	(1,559)
21.7	Lease of Vehicles	11	35	9	(26)
22.0	Transportation of things	84	268	169	(99)
23.1	GSA rent	-	-	-	-
23.2	Other rent	43	137	35	(102)
23.3	Communication, utilities, and misc charges	117	374	96	(278)
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	3,020	9,860	2,441	(7,419)
25.2	Other services	567	2,014	290	(1,724)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	3,539	9,500	2,564	(6,936)
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	1,005	4,613	1,189	(3,424)
31.0	Equipment	194	178	160	(18)
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	1	3	1	(2)
<b>Total, Research, Development, Test, &amp; Evaluation</b>		<b>\$ 20,536</b>	<b>\$ 41,249</b>	<b>\$ 19,728</b>	<b>\$ (21,521)</b>

### PPA Mission Statement

The Coast Guard RDT&E Appropriation serves as a strategic investment in real-world exploration to quickly gain knowledge and experience enhancing the sound early decisions that have a significant effect on a system's overall value and risk profiles. The RDT&E Appropriation funds foundational work for decision-makers of future acquisition, operations, regulatory, and support initiatives before long-term commitments are made through the AC&I or OE appropriations. Knowledge and experience are gained through mission validation, gap analysis, modeling and simulation, requirements validation, operational analysis, market research, alternatives analysis, technology maturity assessments, cost estimation, prototyping, operational assessments, testing, and evaluation.

## Summary Justification and Explanation of Changes

### Salaries and Benefits

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 11,445	\$ 12,167	\$ 12,233	\$ 66

The FY 2013 request includes funding for the proposed pay raise (1.7 percent for military and 0.5 percent for civilian), medical benefits, other mandatory personnel entitlements.

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 510	\$ 2,100	\$ 541	\$ (1,559)

The decrease reflects reduced travel costs of Coast Guard military service members, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2013 request also reflects the reduced need for R&D project related travel.

### Lease of Vehicles

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 11	\$ 35	\$ 9	\$ (26)

The decrease in FY 2013 is the anticipated reduction for government vehicles leases.

### Transportation of things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 84	\$ 268	\$ 169	\$ (99)

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 request reflects the reduction for transportation of things related to R&D research projects.



**Other Rent**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 43	\$ 137	\$ 35	\$ (102)

Payments to a non-Federal source for rental space, land, and structures. The FY 2013 request reflects the reduction for payments to non-Federal sources.

**Communication, utilities, and misc charges**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 117	\$ 374	\$ 96	\$ (278)

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 decrease reflects the anticipated reduction for R&D related projects.

**Advisory and Assistance**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 3,020	\$ 9,860	\$ 2,441	\$ (7,419)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The funding request in FY 2013 reflects decreases in project funding for technology demonstrations, testing and evaluations and their progress.

**Other services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 567	\$ 2,014	\$ 290	\$ (1,724)

Other services include contractual services with non-federal sources that are not otherwise classified under Object Class 25. The FY 2013 request adequately supports R&D projects.

**Research and development**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 3,539	\$ 9,500	\$ 2,564	\$ (6,936)

This request reflects consideration of prior-year unobligated balances.

**Supplies and materials**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 1,005	\$ 4,613	\$ 1,189	\$ (3,424)

Supplies and materials are primarily defined as commodities that are ordinarily consumed or expended within one year after they are put into use. The FY 2013 request reflects a reduction of \$3,424 for the decreased need for R&D projects.

**Equipment**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 194	\$ 178	\$ 160	\$ (18)

This object class covers the purchase of R&D materials for technology demonstrations, testing and evaluations and their progress. The FY 2013 request reflects a reduction of \$460 for the decreased need for R&D projects.

**Insurance claims and indemnity**

<b>FY 2011 Obligations</b>	<b>FY 2012 Budget Authority</b>	<b>FY 2013 Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 1	\$ 3	\$ 1	\$ (2)

This object class covers benefit payment from the social insurance and Federal retirement trust funds and payment for losses and claims including those under the Equal Access to Justice Act.

# Department of Homeland Security

*United States Coast Guard*

*Medicare-Eligible Retiree Health Care Fund  
Contribution*

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Fiscal Year 2013  
Congressional Justification



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**U. S. Coast Guard**  
**Medicare-Eligible Retiree Health Care Fund Contribution**

**I. Appropriation Overview**

**A. Mission Statement for the Health Care Fund Contribution:**

The Medicare-Eligible Retiree Health Care Fund Contribution (MERHCF) funds accrual of the Coast Guard's military Medicare-eligible health benefit contribution to the Department of Defense (DoD) Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees currently serving on active duty in the Coast Guard, as well as retiree dependents and their potential survivors. The authority for the Coast Guard to make this payment on an annual basis was provided in P.L. 108-375, the 2005 Defense Appropriations Act. While this expenditure requires no annual action by Congress, it is scored as discretionary spending.

**B. Budget Activities:**

There are no budget activities directly related to providing this benefit to active duty personnel and their dependents.

**C. Budget Request Summary:**

The Coast Guard estimates that \$170.0 million will be paid to the DoD Medicare-Eligible Retiree Health Care Fund in FY 2013 to support the benefits outlined above. The annual budget estimate for Medicare-Eligible Retiree Health Care Fund Contribution is calculated by multiplying the projected end strength (FTE) by DoD actuary projected cost rates. The total adjustment to the base is a decrease of \$92.0 million, due to a reduced projected end strength in FY 2013, projected savings associated with the National Defense Authorization Act for Fiscal Year 2012, and savings associated with two FY 2013 budget proposals to increase pharmacy co-pays and implement enrollment fees for the TRICARE-For-Life program.

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security  
U. S. Coast Guard  
Medicare-Eligible Retiree Health Care Fund Contribution**  
Summary of FY 2013 Budget Estimates by Program/Project Activity  
(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013			
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes	Program Changes	Adjustments-to-base	
I Medicare-Eligible Retiree Health Care Fund Contribution	-	\$ 265,321	-	\$ 261,871	-	\$ 169,977	-	\$ (91,894)	-	\$ (91,894)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	\$ 265,321	-	\$ 261,871	-	\$ 169,977	-	\$ (91,894)	-	\$ (91,894)
<b>Less: Adjustments for Other Funding Sources:</b>										
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	-	\$ 265,321	-	\$ 261,871	-	\$ 169,977	-	\$ (91,894)	-	\$ (91,894)



### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Medicare-Eligible Retiree Health Care Fund Contribution**  
**Program Performance Justification**  
(Dollars in Thousands)

PPA: MEDICARE-ELIGIBLE RETIREE HEALTH CARE FUND CONTRIBUTION

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>\$265,321</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>261,871</b>
2013 Adjustments-to-Base			(91,894)
<b>2013 Current Services</b>	...	...	<b>169,977</b>
2013 Program Change	...	...	...
<b>2013 Requested Budget Authority</b>	...	...	<b>169,997</b>

The Coast Guard requests \$170.0 million for this activity.

- Decrease of \$92.0 million. Of this amount, \$58.9 million reduction is the result of lower actuarial projections and changes in FTE over FY 2012 levels and the remaining \$33.0 million is attributed to FY 2013 budget proposals by the Department of Defense that reduces the per capita MERHCF rate for full time and part time military personnel.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The Medicare-Eligible Retiree Health Care Fund Contribution will fund accrual of the Coast Guard's military Medicare-eligible health benefit contribution to the Department of Defense Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees, retiree dependents, and survivors in the Coast Guard.

**B. FY 2012 to FY 2013 Budget**

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Medicare-Eligible Retiree Health Care Fund Contribution**  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	-	-	<b>265,321</b>
<b>FY 2012 Enacted Budget Authority</b>	-	-	<b>261,871</b>
Decrease	-	-	(91,894)
Total Decreases	-	-	(91,894)
<b>Total Adjustments-to-Base</b>	-	-	<b>(91,894)</b>
<b>FY 2013 Current Services</b>	-	-	<b>169,977</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>169,977</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(91,894)</b>



**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Medicare-Eligible Retiree Health Care Fund Contribution  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	265,321	261,871	169,977	(91,894)
13.0 Benefits-former	-	-	-	-
<b>Total, Personnel Comp. &amp; Benefits</b>	<b>\$ 265,321</b>	<b>\$ 261,871</b>	<b>\$ 169,977</b>	<b>\$ (91,894)</b>
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
<b>Total, Other Object Classes</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Total, Direct Obligations</b>	<b>\$ 265,321</b>	<b>\$ 261,871</b>	<b>\$ 169,977</b>	<b>\$ (91,894)</b>
Unobligated balance, start of year	-	-	-	-
Unobligated balance, end of year	-	-	-	-
<b>Total Requirements</b>	<b>\$ 265,321</b>	<b>\$ 261,871</b>	<b>\$ 169,977</b>	<b>\$ (91,894)</b>

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Medicare-Eligible Retiree Health Care Fund Contribution  
PPA I  
Funding Schedule  
(Dollars in Thousands)**

Medicare-Eligible Retiree Health Care Fund Contribution		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	265,321	261,871	169,977	(91,894)
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total Direct Obligations</b>		<b>\$ 265,321</b>	<b>\$ 261,871</b>	<b>\$ 169,977</b>	<b>\$ (91,894)</b>
Unobligated balance, start of year		-	-	-	-
Unobligated balance, end of year		-	-	-	-
<b>Total Requirements</b>		<b>\$ 265,321</b>	<b>\$ 261,871</b>	<b>\$ 169,977</b>	<b>(91,894)</b>

**PPA Mission Statement**

The Medicare-Eligible Retiree Health Care Fund Contribution will fund accrual of the military Medicare-eligible health benefit contribution to the Department of Defense Medicare-Eligible Retiree Health Care Fund. Contributions are for future Medicare-eligible retirees, retiree dependents, and survivors in the Coast Guard.

## Summary Justification and Explanation of Changes

### Salaries and Benefits

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>\$ 265,321</b>	<b>\$ 261,871</b>	<b>\$ 169,977</b>	<b>\$ (91,894)</b>

This decrease is the result of lower actuarial projections and changes in FTE over FY 2012 levels. A decrease of \$33.0 million is attributed to FY 2013 budget proposals by the Department of Defense that reduces the per capita MERHCF rate for full time and part time military personnel.

# Department of Homeland Security

*United States Coast Guard*

*Retired Pay*

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Fiscal Year 2013

Congressional Justification





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**U. S. Coast Guard**  
**Retired Pay**

**I. Appropriation Overview**

**A. Mission Statement for Retired Pay:**

The Retired Pay (RP) appropriation provides payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans, and other retired personnel entitlements identified under National Defense Authorization Acts. This includes payment for medical care of retired personnel and their dependents.

**B. Budget Activities:**

There are no budget activities directly related to providing this benefit to retired military personnel and their dependents.

**C. Budget Request Summary:**

The Coast Guard requests \$1.4 billion in FY 2013 to support the benefits outlined above. The Coast Guard also requests that any FY 2013 funding remain available until expended. The Retired Pay appropriation is scored as a mandatory appropriation.

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security**

**U. S. Coast Guard**

**Retired Pay**

**Summary of FY 2013 Budget Estimates by Program/Project Activity**

(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Total Changes		Increase (+) or Decrease (-) For FY 2013		Adjustments-to-base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Retired Pay	-	\$ 1,320,689	-	\$ 1,440,157	-	\$ 1,430,942	-	\$ (9,215)	-	\$ (9,215)	-	\$ (9,215)
Subtotal, Enacted Appropriations and Budget Estimates	-	\$ 1,320,689	-	\$ 1,440,157	-	\$ 1,430,942	-	\$ (9,215)	-	\$ (9,215)	-	\$ (9,215)
Less Adjustments for Other Funding Sources:												
Net, Enacted Appropriations & Budget Estimates	-	\$ 1,320,689	-	\$ 1,440,157	-	\$ 1,430,942	-	\$ (9,215)	-	\$ (9,215)	-	\$ (9,215)

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U. S. Coast Guard  
Retired Pay  
Program Performance Justification  
(Dollars in Thousands)**

PPA: RETIRED PAY

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>\$1,320,689</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>1,440,157</b>
2013 Adjustments-to-Base			(9,215)
<b>2013 Current Services</b>	...	...	<b>1,430,942</b>
2013 Program Change	...	...	...
<b>2013 Requested Budget Authority*</b>	...	...	<b>1,430,942</b>

The Coast Guard requests \$1.4 billion for this activity.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

The Retired Pay (RP) appropriation provides payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans and other retired personnel entitlements identified under the National Defense Authorization Act. It also provides payment for medical care of retired personnel and their dependents.

## **V. Exhibits and Other Supporting Materials**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
U. S. Coast Guard  
Justification of Proposed Changes in Retired Pay  
Appropriation Language**

For retired pay, including the payment of obligations otherwise chargeable to lapsed appropriations for this purpose, payments under the Retired Serviceman's Family Protection and Survivor Benefits Plans, payment for career status bonuses, concurrent receipts and combat-related special compensation under the National Defense Authorization Act, and payments for medical care of retired personnel and their dependents under chapter 55 of title 10, United States Code, [\$1,440,157,000]\$1,430,942,000 to remain available until expended.

**B. FY 2012 to FY 2013 Budget**

**Department of Homeland Security  
U. S. Coast Guard  
Retired Pay  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	-	-	<b>1,320,689</b>
<b>FY 2012 Enacted Budget Authority</b>	-	-	<b>1,440,157</b>
Actuarial Adjustments	-	-	(9,215)
Total Decrease	-	-	(9,215)
<b>Total Adjustments-to-Base</b>	-	-	<b>(9,215)</b>
<b>FY 2013 Current Services</b>	-	-	<b>1,430,942</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>1,430,942</b>
<b>2012 to 2013 Total Change</b>	-	-	<b>(9,215)</b>





**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Retired Pay  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	1,167,000	1,267,000	1,224,000	(43,000)
<b>Total, Personnel Comp. &amp; Benefits</b>	<b>\$ 1,167,000</b>	<b>\$ 1,267,000</b>	<b>\$ 1,224,000</b>	<b>\$ (43,000)</b>
Other Objects Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	-	-	-	-
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	154,000	173,157	217,000	43,843
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
<b>Total, Other Object Classes</b>	<b>\$ 154,000</b>	<b>\$ 173,157</b>	<b>\$ 217,000</b>	<b>\$ 43,843</b>
<b>Total Direct Obligations<sup>1</sup></b>	<b>\$ 1,321,000</b>	<b>\$ 1,440,157</b>	<b>\$ 1,441,000</b>	<b>\$ 843</b>
Unobligated balance, start of year	(75,809)	(155,516)	(155,516)	
Unobligated balance, end of year	155,516	155,516	145,458	
Recoveries				
<b>Total Requirements<sup>2</sup></b>	<b>\$ 1,400,707</b>	<b>\$ 1,440,157</b>	<b>\$ 1,430,942</b>	

<sup>1</sup>Total Direct Obligations do not include unobligated balances of prior year funding.

<sup>2</sup>Total Requirements in FY 2013 are based on actuary projections and obligation of the projected FY 2012 unobligated balance.

## H. PPA Budget Justifications

**Department of Homeland Security  
U. S. Coast Guard  
Retired Pay  
PPA I  
Funding Schedule  
(Dollars in Thousands)**

Retired Pay		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012-2013 Change
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	1,167,000	1,267,000	1,224,000	(43,000)
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	-	-	-	-
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	154,000	173,157	217,000	43,843
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Retired Pay</b>		<b>\$ 1,321,000</b>	<b>\$ 1,440,157</b>	<b>\$ 1,441,000</b>	<b>\$ 843</b>

### PPA Mission Statement

Retired Pay will provide payments as identified under the Retired Serviceman's Family Protection and Survivor Benefits Plans, payments for career status bonuses, concurrent receipts and combat related special compensation identified under the National Defense Authorization Act.

## Summary Justification and Explanation of Changes

### Salaries and Benefits

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012-2013 Change
\$ 1,167,000	\$ 1,267,000	\$ 1,224,000	\$ (43,000)

Accounts for cost-of-living adjustments for all retirement and most survivor annuities, benefits authorized by the National Defense Authorization Act. Decrease of \$43,000,000 is reflective of actuarial cost projects and obligation of prior-year unobligated balances.

### Medical care

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012-2013 Change
\$ 154,000	\$ 173,157	\$ 217,000	\$ 43,843

Increase of \$43,843,000 accounts for the projections for retiree medical benefits costs. Once a member becomes eligible for Medicare, the Medicare-Eligible Retiree Health Care Fund is responsible for these benefits.

# Department of Homeland Security

*United States Coast Guard*

*Boat Safety*

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Fiscal Year 2013

Congressional Justification



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**U. S. Coast Guard**  
**Boat Safety**

**I. Appropriation Overview**

**A. Mission Statement for Boating Safety:**

The Boating Safety (BS) program is designed, through preventive means, to minimize loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats. The program directly supports the Coast Guard's Maritime Prevention Program by promoting safe and enjoyable use of public U.S. waterways.

**B. Budget Activities:**

Boating Safety activities include: overseeing manufacturer compliance with Coast Guard regulations; grantmaking to states and national non-profit boating safety organizations; conducting surveys to measure recreational boating activity; continuing the "Boat Responsibly" national outreach and awareness initiative; promulgating safety regulations; and measuring life jacket wear rates, including the effectiveness of voluntary and mandatory efforts to increase life jacket usage.

**C. Budget Request Summary:**

In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National Recreational Boating Safety Program provided from the Sport Fish Restoration and Boating Trust Fund. Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e., FY 2013 funding will be a percentage of FY 2012 trust fund receipts). These amounts are available until expended, but are limited in purpose and amount in accordance with existing statutes.

The FY 2013 budget reflects the anticipated level of funding that would be available from the trust fund for boating safety. This is based on current estimates of FY 2012 trust fund receipts from the Office of Tax Analysis at the Department of the Treasury (adjusted to reflect amendments of current law enacted in P.L. 109-59). The estimated total distribution from the trust fund for boating safety in FY 2013 is \$116.2 million. Of that amount, \$5.0 million is available for use by the Coast Guard to coordinate and execute new and enhanced National RBS Program activities. The balance is authorized for the State RBS Federal Financial Assistance Program established by 46 U.S.C. 13101, et seq., minus not more than five percent for national boating safety activities of national non-profit public service organizations, and not more than two percent for Coast Guard expenses to administer State RBS programs.



**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security**

**U. S. Coast Guard**

**Boat Safety**

**Summary of FY 2013 Budget Estimates by Program/Project Activity**

(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013						
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base		
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	
I. Boat Safety	9	\$ 134,433	10	\$ 113,199	10	\$ 116,221	-	\$ -	-	\$ -	-	\$ -	5
Subtotal, Enacted Appropriations and Budget Estimates	9	\$ 134,433	10	\$ 113,199	10	\$ 116,221	-	\$ -	-	\$ -	-	\$ -	5
Less Adjustments for Other Funding Sources:													
Net, Enacted Appropriations & Budget Estimates	9	\$ 134,433	10	\$ 113,199	10	\$ 116,221	-	\$ -	-	\$ -	-	\$ -	5

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U. S. Coast Guard  
Boat Safety  
Program Performance Justification  
(Dollars in Thousands)**

PPA I: BOAT SAFETY

	Perm Pos	FTE	Amount
<b>2011 Actual Obligations</b>	<b>10</b>	<b>9</b>	<b>\$134,433</b>
<b>2012 Enacted Budget Authority</b>	<b>10</b>	<b>10</b>	<b>113,199</b>
2013 Adjustments-to-Base	...	...	5
<b>2013 Current Services</b>	<b>10</b>	<b>10</b>	<b>113,204</b>
2013 Program Change			3,017
<b>2013 Requested Budget Authority</b>	<b>10</b>	<b>10</b>	<b>116,221</b>

The Coast Guard requests \$116.2 million for this activity.

- Increase of \$3.0 million is a result of the Boat Safety program's portion of the receipt projections from the Sport Fish Restoration and Boat Safety Trust Fund.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

This account provides grants for the development and implementation of a coordinated national recreational boating safety program. Boating safety statistics reflect the success in meeting the program's objectives. Pursuant to the Safe, Accountable, Flexible, Efficient Transportation Equity Act-A Legacy for Users (SAFETEA-LU, P.L. 109-59), the Boat Safety program receives 18.5 percent of the funds collected in the Sport Fish Restoration and Boating Safety Trust Fund.

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Boat Safety**

FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	<b>10</b>	<b>9</b>	<b>134,433</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>10</b>	<b>10</b>	<b>113,199</b>
<b>Adjustments-to-Base</b>			
<b>Increases</b>			
FY 2013 Pay Raise	-	-	5
<b>Total Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>5</b>
<b>Program Changes</b>			
Program Increase	-	-	3,017
<b>Total Program Changes</b>	<b>-</b>	<b>-</b>	<b>3,017</b>
<b>2013 Current Services</b>	<b>10</b>	<b>10</b>	<b>116,221</b>
			-
<b>2013 Requested Budget Authority</b>	<b>10</b>	<b>10</b>	<b>116,221</b>
<b>2012 to 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>3,022</b>



**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Boat Safety**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes		FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1	Full-time permanent	981	1,059	1,060	1
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	15	16	16	-
11.6	Military personnel-basic allowance for housing	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	255	275	275	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
<b>Total, Personnel Comp. &amp; Benefits</b>		<b>\$ 1,251</b>	<b>\$ 1,350</b>	<b>\$ 1,351</b>	<b>\$ 1</b>
Other Objects Classes:		-	-	-	-
21.0	Travel	270	79	85	6
22.0	Transportation of things	6	6	5	(1)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	100	99	86	(13)
25.1	Advisory and assistance services	6,100	5,500	1,192	(4,308)
25.2	Other services	4,200	3,500	2,500	(1,000)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	2	2	2	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	122,504	122,000	111,000	(11,000)
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Other Object Classes</b>		<b>\$ 133,182</b>	<b>131,186</b>	<b>114,870</b>	<b>(16,316)</b>
<b>Total Direct Obligations<sup>1</sup></b>		<b>\$ 134,433</b>	<b>132,536</b>	<b>116,221</b>	<b>(16,315)</b>
Unobligated balance, start of year		(34,405)	(19,337)	-	
Unobligated balance, end of year		19,337		-	
Recoveries		(1,666)	-	-	
<b>Total Requirements</b>		<b>\$ 117,699</b>	<b>\$ 113,199</b>	<b>116,221</b>	

<sup>1</sup>Total Direct Obligations include unobligated balances of prior year funding

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Boat Safety - Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Request Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	3	3	3	-
GS-13	5	5	5	-
GS-12	-	-	-	-
GS-11	-	-	-	-
GS-10	-	-	-	-
GS-9	-	-	-	-
GS-8	-	-	-	-
GS-7	1	1	1	-
GS-6	-	-	-	-
GS-5	-	-	-	-
GS-4	-	-	-	-
GS-3	-	-	-	-
GS-2	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>10</b>	<b>10</b>	<b>10</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Perm. Employment (Filled Positions) EOY	10	10	10	-
<b>FTE</b>	<b>9</b>	<b>10</b>	<b>10</b>	<b>-</b>
Headquarters	10	8	8	-
U.S. Field	-	2	2	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>10</b>	<b>10</b>	<b>10</b>	<b>-</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b>	n/a	n/a	n/a	n/a
<b>Average Personnel Costs, GS Positions</b>	\$139,070	\$144,020	\$146,700	\$ 2,680
<b>Average Grade, GS Positions</b>	13	13	13	-

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holidays, Sundays, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Boat Safety**  
**PPA I**  
**Funding Schedule**  
(Dollars in Thousands)

<b>Boat Safety</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
<b>Object Classes</b>					
11.1	Full-time permanent	981	1,059	1,060	1
11.3	Other than full-time permanent				-
11.5	Other personnel compensation	15	16	16	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	255	275	275	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	270	79	85	6
22.0	Transportation of things	6	6	5	(1)
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	100	99	86	(13)
25.1	Advisory and assistance services	6,100	5,500	1,192	(4,308)
25.2	Other services	4,200	3,500	2,500	(1,000)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	2	2	2	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	122,504	122,000	111,000	(11,000)
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Boat Safety</b>		<b>\$ 134,433</b>	<b>\$ 132,536</b>	<b>\$ 116,221</b>	<b>\$ (16,315)</b>

### PPA Mission Statement

The Boating Safety (BS) program is designed, through preventive means, to minimize loss of life, personal injury, property damage and environmental impact associated with the use of recreational boats. The program directly supports the Coast Guard's Marine Safety mission by promoting safe and enjoyable use of public U.S. waterways. In its role as the designated National Recreational Boating Safety (RBS) Program Coordinator, the Coast Guard is charged with managing dedicated user fee funding to support the National RBS Program provided from the Sport Fish Restoration and Boating Trust Fund (formerly Aquatic Resources Trust Fund). Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts from the preceding fiscal year (i.e., FY 2013 funding will be a percentage of FY 2012 trust fund receipts).

## Summary Justification and Explanation of Changes

### Salaries and Benefits

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 1,251	\$ 1,350	\$ 1,351	\$ 1

The FY 2013 request includes funding for a 0.5% pay increase for civilians.

### Travel

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 270	\$ 79	\$ 85	\$ 6

Transportation funds cover the travel costs of Coast Guard employees, while in an authorized travel status, either directly or by reimbursing the traveler. The FY 2013 request reflects the anticipated need for Coast Guard personnel traveling for the RBS program activities.

### Transportation of Things

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 6	\$ 6	\$ 5	\$ (1)

Transportation of things includes all costs of the care of such things while in the process of being transported and other services incident to the transportation of things. The FY 2013 request reflects the anticipated need for transportation of things for the RBS program activities.

### Printing and reproduction

FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
\$ 100	\$ 99	\$ 86	\$ (13)

The FY 2013 request reflects the anticipated need for printing and reproduction of the RBS program activities.



**Advisory and assistance services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 6,100	\$ 5,500	\$ 1,192	\$ (4,308)

The FY 2013 request reflects the anticipated need for advisory and assistance services, including services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government.

**Other Services**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 4,200	\$ 3,500	\$ 2,500	\$ (1,000)

Other services include reported contractual services with non-Federal sources that are not otherwise classified under Object Class 25. Decreased funding in FY 2013 reflects changes in the revenues from trust fund receipts. Non-Federal services for boating safety activities will be increased across all States.

**Grants, Subsidies and Contributions**

<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012 - 2013 Change</b>
\$ 122,504	\$ 122,000	\$ 111,000	\$ (11,000)

Under the provisions of the Sportfishing and Recreational Boating Safety Act of 2005 (Subtitle A, Title X, P.L. 109-59), the Coast Guard receives a percentage distribution of total trust fund receipts.

## I. Changes in Full-Time Equivalents

**Department of Homeland Security**  
**U. S. Coast Guard**  
**Boat Safety**  
Changes in Full-Time Equivalents

	FY 2011	FY 2012	FY 2013
<b>Base: Year-end FTE from Prior Year</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>INCREASES</b>			
<b>Increase #1: Boat Safety Personnel Management</b>	<b>1</b>	<b>1</b>	<b>0</b>
<b>Description: FTE reimbursed via the Boating Safety trust fund for grant management services</b>			
<b>Subtotal, Increases:</b>	<b>1</b>	<b>1</b>	<b>0</b>
<b>DECREASES:</b>			
<b>Decrease #1:</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Description:</b>			
<b>Subtotal, Decreases:</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Year-end Enacted / Estimated FTEs</b>	<b>9</b>	<b>10</b>	<b>10</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>1</b>	<b>1</b>	<b>0</b>

# Department of Homeland Security

*United States Coast Guard*

*Maritime Oil Spill Program*

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Fiscal Year 2013

Congressional Justification



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**U. S. Coast Guard**  
**Maritime Oil Spill Program**

**I. Appropriation Overview**

**A. Mission Statement for Maritime Oil Spill Program:**

The Maritime Oil Spill Program operates under the authority of Title I of the Oil Pollution Act of 1990 (OPA), as amended, which provides for the use of the Oil Spill Liability Trust Fund (OSLTF) to pay for Federal response to oil spills and claims for uncompensated removal costs and damages resulting from such spills. In Section Seven of Executive Order 12777, the President delegated management responsibility for these uses of the OSLTF to the Secretary of the Department in which the Coast Guard is operating. Upon re-delegation by the Secretary, the Commandant of the Coast Guard delegated responsibility to the National Pollution Funds Center (NPFC), which oversees the OSLTF.

**B. Budget Activities:**

The Maritime Oil Spill Program directly supports the Coast Guard's Marine Environmental Protection mission and Maritime Response Program, which accomplish the following objectives:

- Provides funding for Federal removal actions in response to a discharge or a substantial threat of discharge of oil to navigable waters of the United States.
- Compensates claimants for OPA removal costs or damages.
- Provides funding to natural resource trustees for Natural Resource Damage Assessments (NRDA).
- Administers the OSLTF.

**C. Budget Request Summary:**

The Coast Guard estimates that expenditures from this account will total \$100.5 million in FY 2013, a decrease of \$500,000 below the FY 2012 Enacted level due to less funding made available for the Oil Spill Recovery Institute (OSRI) due to lower interest rates. These estimated expenditures consist of a \$50.0 million expenditure transfer for immediate Federal oil spill response, an estimated \$500,000 payment to the Prince William Sound Oil Spill Recovery Institute, and \$50.0 million to compensate claimants for uncompensated OPA removal costs and damages including natural resources damages.

**II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security  
U. S. Coast Guard  
Maritime Oil Spill Program**

Summary of FY 2013 Budget Estimates by Program/Project Activity  
(Dollars in Thousands)

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requested Budget Authority		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							AMOUNT	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. Maritime Oil Spill Program	-	\$ 259,465	-	\$ 101,000	-	\$ 100,500	-	\$ (500)	-	\$ -	-	\$ (500)
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	\$ 259,465	-	\$ 101,000	-	\$ 100,500	-	\$ (500)	-	\$ -	-	\$ (500)
<b>Less Adjustments for Other Funding Sources:</b>												
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	-	\$ 259,465	-	\$ 101,000	-	\$ 100,500	-	\$ (500)	-	\$ -	-	\$ (500)



### III. Current Services Program Description by PPA

**Department of Homeland Security  
U. S. Coast Guard  
Maritime Oil Spill Program  
Program Performance Justification  
(Dollars in Thousands)**

#### PPA I: MARITIME OIL SPILL PROGRAM

	<b>Perm Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	...	...	<b>\$259,465</b>
<b>2012 Enacted Budget Authority</b>	...	...	<b>101,000</b>
2013 Adjustments-to-Base			(500)
<b>2013 Current Services</b>	...	...	<b>100,500</b>
2013 Program Change	...	...	...
<b>2013 Requested Budget Authority</b>	...	...	<b>100,500</b>

The Coast Guard requests \$100.5 million for this activity.

- Decrease of \$500,000 is a result of less funding made available for the Oil Spill Response Institute (OSRI) due to lower interest rates.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

Title I of OPA, as amended, provides for the use of the OSLTF to pay for Federal response to oil spills and claims for uncompensated removal costs and damages resulting from such spills. In Section Seven of Executive Order 12777, the President delegated management responsibility for these uses of the OSLTF to the Secretary of the Department in which the Coast Guard is operating. Upon re-delegation by the Secretary, the Commandant of the Coast Guard delegated responsibility to the NPFC, which oversees the OSLTF.

OPA section 5006(b) directs the NPFC to make annual payments to the Prince William Sound Oil Spill Recovery Institute for the interest on a portion of the OSLTF balance.

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Maritime Oil Spill Program  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
<b>FY 2011 Actual Obligations</b>	-	-	<b>259,465</b>
<b>FY 2012 Enacted Budget Authority</b>	-	-	<b>101,000</b>
Decreases	-	-	(500)
<b>Total Adjustments-to-Base</b>	-	-	<b>(500)</b>
<b>FY 2013 Current Services</b>	-	-	<b>100,500</b>
<b>Program Changes</b>			
<b>Total Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>100,500</b>
<b>2012 to 2013 Total Change</b>	-	-	<b>(500)</b>



**E. Summary of Requirements by Object Class**

**Department of Homeland Security  
U. S. Coast Guard  
Maritime Oil Spill Program  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
11.1 Full-time permanent	-	-	-	-
11.3 Other than full-time permanent	-	-	-	-
11.5 Other personnel compensation	-	-	-	-
11.7 Military personnel	-	-	-	-
11.8 Special service pay	-	-	-	-
12.1 Civilian personnel benefits	-	-	-	-
12.2 Military personnel benefits	-	-	-	-
13.0 Benefits-former	-	-	-	-
<b>Total, Personnel Comp. &amp; Benefits</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
Other Object Classes:				
21.0 Travel	-	-	-	-
22.0 Transportation of things	-	-	-	-
23.1 GSA rent	-	-	-	-
23.2 Other rent	-	-	-	-
23.3 Communication, utilities, and misc charges	-	-	-	-
24.0 Printing and reproduction	-	-	-	-
25.1 Advisory and assistance services	-	-	-	-
25.2 Other services	259,465	101,000	100,500	(500)
25.3 Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4 Operation & maintenance of facilities	-	-	-	-
25.5 Research and development	-	-	-	-
25.6 Medical care	-	-	-	-
25.7 Operation and maintenance of equipment	-	-	-	-
25.8 Subsistence and support of persons	-	-	-	-
26.0 Supplies and materials	-	-	-	-
31.0 Equipment	-	-	-	-
32.0 Land and structures	-	-	-	-
41.0 Grants, subsidies and contributions	-	-	-	-
42.0 Insurance claims and indemnity	-	-	-	-
<b>Total, Other Object Classes</b>	<b>\$ 259,465</b>	<b>\$ 101,000</b>	<b>\$ 100,500</b>	<b>\$ (500)</b>
<b>Total, Direct Obligations</b>	<b>\$ 259,465</b>	<b>\$ 101,000</b>	<b>\$ 100,500</b>	<b>\$ (500)</b>
Unobligated balance, start of year				
Unobligated balance, end of year				
<b>Total Requirements</b>	<b>\$ 259,465</b>	<b>\$ 101,000</b>	<b>\$ 100,500</b>	

**H. PPA Budget Justifications**

**Department of Homeland Security  
U. S. Coast Guard  
Maritime Oil Spill Program  
PPA I  
Funding Schedule  
(Dollars in Thousands)**

<b>Maritime Oil Spill Program</b>		<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>2012-2013 Change</b>
<b>Object Classes</b>					
11.1	Full-time permanent	-	-	-	-
11.3	Other than full-time permanent	-	-	-	-
11.5	Other personnel compensation	-	-	-	-
11.7	Military personnel	-	-	-	-
11.8	Special service pay	-	-	-	-
12.1	Civilian personnel benefits	-	-	-	-
12.2	Military personnel benefits	-	-	-	-
13.0	Benefits-former	-	-	-	-
21.0	Travel	-	-	-	-
22.0	Transportation of things	-	-	-	-
23.1	GSA rent	-	-	-	-
23.2	Other rent	-	-	-	-
23.3	Communication, utilities, and misc charges	-	-	-	-
24.0	Printing and reproduction	-	-	-	-
25.1	Advisory and assistance services	-	-	-	-
25.2	Other services	259,465	101,000	100,500	(500)
25.3	Purchases of goods & svcs. from gov't accounts	-	-	-	-
25.4	Operation & maintenance of facilities	-	-	-	-
25.5	Research and development	-	-	-	-
25.6	Medical care	-	-	-	-
25.7	Operation and maintenance of equipment	-	-	-	-
25.8	Subsistence and support of persons	-	-	-	-
26.0	Supplies and materials	-	-	-	-
31.0	Equipment	-	-	-	-
32.0	Land and structures	-	-	-	-
41.0	Grants, subsidies and contributions	-	-	-	-
42.0	Insurance claims and indemnity	-	-	-	-
<b>Total, Maritime Oil Spill Program</b>		<b>\$ 259,465</b>	<b>\$ 101,000</b>	<b>\$ 100,500</b>	<b>\$ (500)</b>
Unobligated balance, start of year					
Unobligated balance, end of year					
<b>Total Requirements</b>		<b>\$ 259,465</b>	<b>\$ 101,000</b>	<b>\$ 100,500</b>	

**PPA Mission Statement**

The Maritime Oil Spill Program fund will provide a source of funds for removal costs and damages resulting from oil spills, or the substantial threat of a spill, into navigable waters of the U.S. In accordance with the provisions of the Oil Pollution Act of 1990, the President may make available up to \$50.0 million annually from the Fund for oil spill removal activities. The Fund also pays all eligible claims for removal costs and damages resulting from oil spills.

## Summary Justification and Explanation of Changes

### Other services

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012-2013 Change
	\$ 259,465	\$ 101,000	\$ 100,500	\$ (500)

The FY 2013 Maritime Oil Spill Program request represents a decrease of \$500,000 as a result of less funding made available for the Oil Spill Response Institute (OSRI). OSRI funding from the Oil Spill Liability Trust Fund (OSLTF) is based on interest produced from a discrete portion of the Fund. The reduction to funding made available is a function of lower interest rates.

# Department of Homeland Security

*United States Coast Guard*

*Miscellaneous Funds*

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Fiscal Year 2013

Congressional Justification





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K. DHS Balanced Workforce Initiative.....	N/A



**U. S. Coast Guard**  
**Miscellaneous Funds**

**I. General Gift Fund Overview**

**A. Mission Statement for General Gift Fund**

The Coast Guard General Gift Fund is authorized under 10 U.S.C. § 2601 provisions for such funds within the Department of Defense and the Coast Guard. The General Gift Fund is a vehicle that authorizes the Commandant of the Coast Guard to accept gifts and donations for the benefit of activities such as museums, chapels, and other organizations under the jurisdiction of the Coast Guard. The Coast Guard is also authorized to accept gifts to be used for the benefit of service members who are wounded, injured or taken ill while in the line of duty, as well as for those members' dependents and survivors.

**B. Budget Activities:**

The General Gift Fund indirectly supports Coast Guard activities.

**C. Budget Bequest Summary:**

The Coast Guard estimates \$80,000 in bequests from various sources to the General Gift Fund in FY 2013.

**U.S. Coast Guard General Gift Fund**  
(Dollars in Thousands)

	<b><u>Amount</u></b>
<b>2011 Actual Obligations</b>	<b>\$1,535</b>
<b>2012 Enacted Budget Authority</b>	<b>80</b>
<b>2013 Estimated Bequests</b>	<b>80</b>
Total Change 2012-2013	-

**U. S. Coast Guard**  
**Miscellaneous Funds**

**II. Yard Fund Overview**

**A. Mission Statement for Yard Fund**

Coast Guard Yard contributes to all 11 statutory Coast Guard missions and six DHS FYHSP Programs through completion of mission-essential logistics and engineering support (e.g., cutter drydocking). The Yard Fund is a revolving account supported by the Coast Guard's Operating Expenses and Acquisition, Construction & Improvements appropriations to pay for FTE and materials required for Coast Guard projects and work orders completed by the Coast Guard Yard, located in Curtis Bay, MD.

**B. Budget Activities:**

Yard Fund activities include logistics and engineering support for Coast Guard vessels. These activities indirectly support Coast Guard missions.

**C. Budget Request Summary:**

Not Applicable

**U. S. Coast Guard**  
**Miscellaneous Funds**

**II. Supply Fund Overview**

**A. Mission Statement for Supply Fund**

The Supply Fund, in accordance with 14 U.S.C. § 650, finances the procurement of uniform clothing, commissary provisions, general stores, technical material, and fuel for vessels over 180 feet in length. The fund is normally financed by reimbursements from the sale of goods.

**B. Budget Activities:**

Supply Fund activities include funding the procurement of uniforms, commissioning provisions, stores, materials, and fuel. These activities indirectly support Coast Guard missions.

**C. Budget Request Summary:**

Not Applicable

**III. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)**

**Department of Homeland Security  
U. S. Coast Guard  
Gift Fund**

**Summary of FY 2013 Budget Estimates by Program/Project Activity  
(Dollars in Thousands)**

Program/Project Activity	FY 2011 Actual Obligations		FY 2012 Enacted Budget Authority		FY 2013 Requests		Increase (+) or Decrease (-) For FY 2013					
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	Total Changes		Program Changes		Adjustments-to-base	
							FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
I. General Gift Fund	-	\$ 1,535	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	\$ 1,535	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -
<b>Less Adjustments for Other Funding Sources:</b>												
<b>Net, Enacted Appropriations &amp; Budget Estimates</b>	-	\$ 1,535	-	\$ 80	-	\$ 80	-	\$ -	-	\$ -	-	\$ -

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Yard Fund - Reimbursable Civilian  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
Total, SES	-	-	-	-
Total, EX	-	-	-	-
GS-15	1	1	1	-
GS-14	4	3	3	-
GS-13	15	8	8	-
GS-12	27	27	27	-
GS-11	20	35	35	-
GS-10	-	-	-	-
GS-9	6	10	10	-
GS-8	2	5	5	-
GS-7	9	14	14	-
GS-6	2	-	-	-
GS-5	3	6	6	-
GS-4	-	2	2	-
GS-3	1	-	-	-
GS-2	-	-	-	-
Other Graded Positions	483	483	483	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	<b>573</b>	<b>594</b>	<b>594</b>	<b>-</b>
Unfilled Positions EOY	36	63	63	-
Total Perm. Employment (Filled Positions) EOY	537	531	531	-
<b>FTE</b>	<b>516</b>	<b>505</b>	<b>505</b>	<b>-</b>
Headquarters	6	7	-	(7)
U.S. Field	567	587	594	7
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	<b>573</b>	<b>594</b>	<b>594</b>	<b>-</b>
<u>Position Data:</u>				
<b>Average Personnel Costs, ES Positions</b>	n/a	n/a	n/a	n/a
<b>Average Personnel Costs, GS Positions</b>	\$ 93,974	\$ 93,974	\$ 94,444	\$ 470
<b>Average Grade, GS Positions</b>	10	10	10	0
<u>Position Data:</u>				
<b>Average Salary, Officer Positions</b>	\$ -	\$ -	\$ -	\$ -

The average personnel costs shown above include basic/locality pay, lump sum payments, awards, overtime, benefits such as retirement, health care and life insurance, and other compensation such as holiday, Sunday, hazardous duty, reemployment annuitant and severance pays, night differential, non foreign Cost-of-Living Allowance, premium compensation for firefighters. Civilian FTP is presented as a count of full time positions, vice full time employees.

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
U. S. Coast Guard  
Gift Fund**

FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)

	<u>Pos.</u>	<u>FTE</u>	<u>Amount</u>
FY 2011 Actual Obligations	-	-	1,535
FY 2012 Enacted Budget Authority	-	-	80
Adjustments-to-Base			
Total Adjustments-to-Base	-	-	-
FY 2013 Estimated Bequests	-	-	80
FY 2013 Bequests	-	-	80
2012 to 2013 Total Change	-	-	-





**D. Summary of Reimbursable Resources (applies only to Yard Fund)**

**Department of Homeland Security  
U. S. Coast Guard  
Yard Fund**

Summary of Reimbursable Resources  
(Dollars in Thousands)

	FY 2011		FY 2012		FY 2013		Increase/Decrease	
	Actual	Obligations	Enacted	Budget Authority	Requested	Budget Authority		
Collections by Source	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
U.S. Coast Guard	585	527	606	517	606	517	-	-
<b>Total Budgetary Resources</b>	585	527	606	517	606	517	-	-

	FY 2011		FY 2012		FY 2013		Increase/Decrease	
	Actual	Obligations	Enacted	Budget Authority	Requested	Budget Authority		
Obligations by Program/Project Activity	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
Coast Guard Yard Projects	585	527	606	517	606	517	-	-
<b>Total Obligations</b>	585	527	606	517	606	517	-	-

**F. Permanent Positions by Grade**

**Department of Homeland Security  
U. S. Coast Guard  
Yard Fund - Reimbursable Military  
Permanent Positions by Grade**

Grade	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	2012 - 2013 Change
	Pos.	Pos.	Pos.	Pos.
O-10	-	-	-	-
O-9	-	-	-	-
O-8	-	-	-	-
O-7	-	-	-	-
O-6	1	1	1	-
O-5	2	2	2	-
O-4	2	2	2	-
O-3	3	3	3	-
O-2	1	1	1	-
O-1	-	-	-	-
CWO	3	3	3	-
Cadet	-	-	-	-
E-10	-	-	-	-
E-9	-	-	-	-
E-8	-	-	-	-
E-7	-	-	-	-
E-6	-	-	-	-
E-5	-	-	-	-
E-4	-	-	-	-
E-3	-	-	-	-
E-2	-	-	-	-
E-1	-	-	-	-
Other Graded Positions	-	-	-	-
Ungraded Positions	-	-	-	-
<b>Total Permanent Positions</b>	12	12	12	-
Unfilled Positions EOY	1	-	-	-
Total Perm. Employment EOY	11	12	12	-
<b>FTE<sup>1</sup></b>	11	12	12	-
Headquarters	-	-	-	-
U.S. Field	12	12	12	-
Foreign Field	-	-	-	-
<b>Total Permanent Positions</b>	12	12	12	-
Position Data:				
<b>Average Salary, Officer Positions<sup>2</sup></b>	\$ 114,087	\$ 115,840	\$ 117,651	\$ 1,811
<b>Average Grade, Officer Positions</b>	3	3	3	-
<b>Average Salary, Enlisted Positions<sup>2</sup></b>	\$ -	\$ -	\$ -	\$ -
<b>Average Grade, Enlisted Positions</b>	5	5	5	-

<sup>1</sup>The Coast Guard manages the military workforce by end strength, not FTE. The military FTE represented in these numbers are monthly end strengths averaged over the year.

<sup>2</sup>The military pay and allowances averages include the costs associated with all pay and allowances paid to a particular paygrade, including: Basic Pay, Basic Allowance for Housing, Basic Allowance for Subsistence, Federal Insurance Contributions, Incentive/Special Pays, Clothing Allowances, Cost-of-Living Allowances and Selective Re-enlistment Bonus payments. The term "Officer" includes Chief Warrant Officers, Cadets, and Officer Candidates.

**Department of Homeland Security  
United States Secret Service**



Fiscal Year 2013  
Overview  
Congressional Justification

**i. Summary of FY Budget Estimates by Appropriation**

**Department of Homeland Security  
United States Secret Service**  
Summary of FY 2013 Budget Estimates by Appropriation  
Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011		FY 2012		FY 2013		Increase (+) or Decrease (-) For FY 2013					
	Actual Obligations		Enacted Budget Authority		Requested Budget Authority		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Operating Expenses	6,905	1,577,913	7,055	1,661,237	7,061	1,544,113	6	(117,124)	(8)	21,382	14	(138,506)
Acquisition, Construction, Improvements, and Related Expenses	"-	6,951	"-	5,380	"-	56,750	"-	51,370	"-	9,496	"-	41,874
Mandatory	"-	246,000	"-	245,000	"-	250,000	"-	5,000	"-	"-	"-	5,000
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>6,905</b>	<b>1,830,864</b>	<b>7,055</b>	<b>1,911,617</b>	<b>7,061</b>	<b>1,850,863</b>	<b>6</b>	<b>(60,754)</b>	<b>(8)</b>	<b>30,878</b>	<b>14</b>	<b>(91,632)</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**U.S. Secret Service**  
 Homeland and Non-Homeland Allocation by Program/Projects Activity  
 (Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Percentage		Total		PPA Homeland Percentage		PPA Non-Homeland Percentage		Total		PPA Homeland Percentage		PPA Non Homeland Percentage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Operating Expenses</b>	6,492	\$1,461,526	413	\$116,387	6,905	\$1,577,913	6,554	\$1,556,709	501	\$104,528	7,055	\$1,661,237	6,554	\$1,455,227	507	\$88,886	7,061	\$1,544,113
Protection	4,359	908,734	-76	10	4,283	908,744	4,599	1,051,829	-	-	4,599	1,051,829	4,434	988,334	-	-0	4,434	988,334
Protection of persons and facilities	3,800	807,654	-70	-	3,730	807,654	3,789	832,463	-7	-	3,782	832,463	3,722	837,646	-	-0	3,722	837,646
National Special Security Event Fund	-	5,846	-	-	-	5,846	-	19,307	-	-	-	19,307	-	4,500	-	-	-	4,500
Presidential candidate nominee protection	24	17,461	-	-	24	17,461	275	113,462	-	-	275	113,462	170	57,960	-	-	170	57,960
White House mail screening	-	9,883	-	-	-	9,883	-	18,472	7	-	7	18,472	7	19,855	-	-	7	19,855
Protective intelligence activities	535	67,890	-6	10	529	67,900	535	68,125	-	-	535	68,125	535	68,373	-	-	535	68,373
Investigations (and Field operations)	1,569	267,653	455	89,217	2,024	356,870	1,383	238,784	460	79,595	1,843	318,379	1,421	243,168	472	81,056	1,893	324,224
Domestic field operations	1,262	196,169	363	65,389	1,625	261,558	1,093	167,993	364	55,998	1,457	223,991	1,145	178,915	381	59,638	1,526	238,553
International field office administration and operations	56	23,173	9	7,724	65	30,897	57	24,728	19	8,243	76	32,971	56	23,262	18	7,754	74	31,016
Electronic crimes special agent program and electronic crimes task forces	236	42,234	78	14,078	314	56,312	218	39,788	72	13,263	290	53,051	220	40,991	73	13,664	293	54,655
Forensic support and grants to NCMEC	15	6,077	5	2,026	20	8,103	15	6,275	5	2,091	20	8,366	-	-	-	-	-	-
Administration	298	230,120	32	25,749	330	255,869	297	172,429	33	19,159	330	191,588	424	168,346	27	6,323	451	174,669
Headquarters, management and administration	298	230,120	32	25,749	330	255,869	297	172,429	33	19,159	330	191,588	424	168,346	27	6,323	451	174,669
Training	266	55,019	2	1,411	268	56,430	266	54,208	7	1,390	273	55,598	266	54,355	7	1,394	273	55,749
Rowley training center	266	55,019	2	1,411	268	56,430	266	54,208	7	1,390	273	55,598	266	54,355	7	1,394	273	55,749
Information Integration & Technology Transformation	-	-	-	-	-	-	9	39,459	1	4,384	10	43,843	9	1,023	1	114	10	1,137
<b>Acquisition, Construction, Improvements, and Related Expenses</b>	-	3,868	-	3,083	-	6,951	-	5,246	-	134	-	5,380	-	51,407	-	5,343	-	56,750
Information Integration & Technology Transformation	-	-	-	-	-	-	-	-	-	-	-	-	-	47,088	-	5,232	-	52,320
James J. Rowley Training Center	-	3,868	-	3,083	-	6,951	-	5,246	-	134	-	5,380	-	4,319	-	111	-	4,430
<b>Total</b>	<b>6,492</b>	<b>1,465,394</b>	<b>413</b>	<b>119,470</b>	<b>6,905</b>	<b>1,584,864</b>	<b>6,554</b>	<b>1,561,955</b>	<b>501</b>	<b>104,662</b>	<b>7,055</b>	<b>1,666,617</b>	<b>6,554</b>	<b>1,506,634</b>	<b>507</b>	<b>94,229</b>	<b>7,061</b>	<b>1,600,863</b>

iii. Status of Congressionally Requested Studies, Reports, and Evaluations

Department of Homeland Security  
United States Secret Service

Fiscal Year	Due Date	Reference/Citation	Requirement	Status
2012	1/22/2012	House Report 112-91, Title II, p. 88	2012 Presidential Campaign - Directs the Secret Service, in consultation with the DHS CFO, to submit [a] financial control plan for 2012 campaign costs and spending.	In progress.
2012	1/30/2012	Senate Report 112-74, Title II, p. 102	National Special Security Events - Directs the [Secret Service] to provide quarterly briefings on the use of these funds [provided in the bill for NSSEs].	In progress.
2012	2/15/2012	House Report 112-331, Division D, Title II, p. 984	Overseas Offices - Directs the Secret Service to provide a briefing on the establishment of the office in Lima, Peru, as well as the current and future funding requirements for a permanent office in Beijing, China.	In progress.
2012	Prior to obligation of funds	House Report 112-331, Division D, Title II, p. 983	Information Integration and Transformation Program - Includes statutory language withholding \$20 million from obligation to purchase or install information technology equipment until the DHS CIO submits a report certifying that all plans for integration and transformation are consistent with DHS data center migration and enterprise architecture requirements.	In progress.
2012	2/21/2012	House Report 112-331, Division D, Title IV, p. 998	APEX Research Projects - Directs S&T and the Secret Service to brief the Committees on the protective technology project, to include a progress report and a schedule for test and evaluation under operational conditions.	In progress.
2012	3/22/2012	House Report 112-91, Title II, pp. 88-89	Staffing and Retention - Directs the Secret Service to provide a briefing to the Committee on steps it is taking to ensure that it is meeting all the human capital challenges affecting its ability to retain key personnel, including any issues concerning compensation or retirement benefits.	In progress.
2012	3/22/2012	Senate Report 112-74, Title II, p. 102	Operational Mission Support and Data Center Migration - Directs the Secret Service to provide a report...on how it plans to obligate the Operational Mission Support and data center migration activities, the level of funding directed at these activities in this act, the anticipated funding requirements in the out-years to complete each activity, and the prioritization given to each activity.	In progress.

**United States Secret Service**  
**Schedule of Authorized/Unauthorized Appropriations by Program Project/Activity**  
(Dollars in Thousands)

<b>Budget Activity</b>	<b>Last Year of Authorization</b>	<b>Authorized Level</b>	<b>Appropriation in Last Year of Authorization</b>	<b>FY 2013 Request</b>
	<b>Fiscal Year</b>	<b>Amount</b>	<b>Amount</b>	<b>Amount</b>
<b>Salaries and Expenses</b>	N/A	N/A	N/A	<b>\$ 1,544,113</b>
-Protection of persons and facilities	N/A	N/A	N/A	837,646
-National special security events	N/A	N/A	N/A	4,500
-Presidential candidate nominee protection	N/A	N/A	N/A	57,960
-Protective intelligence activities	N/A	N/A	N/A	68,373
-White House mail screening	N/A	N/A	N/A	19,855
-Headquarters, management and administration	N/A	N/A	N/A	174,669
-Information Integration and Technology Transformation	N/A	N/A	N/A	1,137
-Rowley training center	N/A	N/A	N/A	55,749
-Domestic field operations	N/A	N/A	N/A	238,553
-International field office administration, operations and training	N/A	N/A	N/A	31,016
-Electronic crimes special agent program and electronic crimes task forces	N/A	N/A	N/A	54,655
-Support for missing and exploited children	N/A	N/A	N/A	0
<b>Acquisition, Construction, and Investment</b>	N/A	N/A	N/A	<b>\$ 56,750</b>
Information Integration and Technology Transformation	N/A	N/A	N/A	\$ 52,320
Acquisition, Construction, and Investment	N/A	N/A	N/A	\$ 4,430
<b>Total Direct Authorization/Appropriation</b>		-	-	<b>\$ 1,600,863</b>

The Secret Service is established in 18 U.S.C. 3056 and 18 U.S.C. 3056A.  
18 U.S.C. 1029 and 1030 specifically authorized the Service to investigate offenses under those sections.



# Department of Homeland Security

*United States Secret Service*  
*Operating Expenses*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **United States Secret Service Salaries and Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement for Operating Expenses:**

The mission of the United States Secret Service (Secret Service) is to safeguard the nation's financial infrastructure and payment systems to preserve the integrity of the economy. The Secret Service also provides for the physical safety of the President, Vice President, their families, and other individuals, to include visiting heads of state and government, as designated by 18 U.S.C. § 3056 and secures facilities under Secret Service protection, designated sites, and National Special Security Events from all threats.

#### **B. Budget Activities:**

The Secret Service's Operating Expenses appropriation provides for the annualization of prior-year funding, fiscal adjustments, and budget activity related to Secret Service programs, projects and activities (PPA).

#### **C. Budget Request Summary:**

The Secret Service requests 7,061 positions, 7,061 FTE, and \$1,544,113,000 for FY 2013. The request includes a total of \$28,900,000 in program increase as well as a program decrease of \$7,518,000 and (8) FTEs. This level of funding is required for and includes the following program changes:

- National Special Security Events - \$3,500,000
- Cyber Security Presidential Protection Measures - \$13,300,000
- Integrated Command and Control Systems - \$12,100,000
- The request also includes a program decrease of (\$7,518,000) and (8) FTE for grant funding and forensic support for investigations involving missing and exploited children.

Adjustments to the base increases include the following:

- 2013 pay increase - \$4,058,000
- 3<sup>rd</sup> year funding for positions hired for the IIT program - \$114,000
- 2<sup>nd</sup> year funding for positions hired for the OMS program - \$2,686,000 (35 FTE)
- 2<sup>nd</sup> year funding for acquisition workforce positions hired - \$284,000 (1 FTE)
- Presidential Primary Limousine Program - \$900,000
- White House mail screening - \$1,377,000

Adjustments to the base decreases include the following:

- International Field Office Administration, Operations & Training - (\$2,000,000) (2 FTE)
- Operational Mission Support – (\$5,886,000)
- National Special Security Events – (\$18,307,000)
- Presidential candidate nominee protection – (\$41,194,000)
- FTE reduction to Headquarters, management and administration (20 FTE)

Additional adjustments to the base decreases for the following DHS-wide efficiencies include:

- Vehicle fleet replacement on 8 year cycle - (\$2,779,000)
- Office of Federal Procurement Policy directed purchasing savings - (\$3,488,000)
- DHS Strategic Sourcing Initiatives - (\$3,431,000)
- Permanent change of station travel - (\$4,332,000)
- General temporary duty travel - (\$14,666,000)
- Vehicle fleet inventory - (\$963,000)
- Overtime - (\$5,510,000)
- IT Infrastructure - (\$2,400,000)
- Headquarters administrative efficiency across DHS - (\$145,000)

An additional adjustment to the base decrease is to transfer funds from the Headquarters, Management, and Administration PPA to the Acquisition, Construction, Improvements, and Related Expenses account:

- Information Integration and Technology Transformation, formally known as Information Integration and Transformation (IIT) – (\$42,824,000)

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
<b>Protection</b>	<b>4,283</b>	<b>4,283</b>	<b>908,744</b>	<b>4,634</b>	<b>4,599</b>	<b>1,051,829</b>	<b>4,434</b>	<b>4,434</b>	<b>988,334</b>	<b>(200)</b>	<b>(165)</b>	<b>(63,495)</b>	-	-	<b>28,900</b>	<b>(200)</b>	<b>(165)</b>	<b>(92,395)</b>
Protection of persons and facilities	3,730	3,730	807,654	3,817	3,782	832,463	3,722	3,722	837,646	(95)	(60)	5,183	-	-	25,400	(95)	(60)	(20,217)
National Special Security Event Fund	-	-	5,846	-	-	19,307	-	-	4,500	-	-	(14,807)	-	-	3,500	-	-	(18,307)
Presidential candidate nominee protection	24	24	17,461	275	275	113,462	170	170	57,960	(105)	(105)	(55,502)	-	-	-	(105)	(105)	(55,502)
White House mail screening	-	-	9,883	7	7	18,472	7	7	19,855	-	-	1,383	-	-	-	-	-	1,383
Protective intelligence activities	529	529	67,900	535	535	68,125	535	535	68,373	-	-	248	-	-	-	-	-	248
Domestic field operations	1,625	1,625	261,558	1,457	1,457	223,991	1,526	1,526	238,553	69	69	14,562	-	-	-	69	69	14,562
International field office administration and operations	65	65	30,897	77	76	32,971	74	74	31,016	(3)	(2)	(1,955)	-	-	-	(3)	(2)	(1,955)
Electronic crimes special agent program and electronic crimes task forces	314	314	56,312	290	290	53,051	293	293	54,655	3	3	1,604	-	-	-	3	3	1,604
Forensic support and grants to NCMEC	20	20	8,103	20	20	8,366	-	-	-	(20)	(20)	(8,366)	(8)	(8)	(7,518)	(12)	(12)	(848)
Headquarters, management and administration	330	330	255,869	331	330	191,588	451	451	174,669	120	121	(16,919)	-	-	-	120	121	(16,919)
Rowley training center	268	268	56,430	273	273	55,598	273	273	55,749	-	-	151	-	-	-	-	-	151
Information Integration & Technology Transformation	-	-	-	10	10	43,843	10	10	1,137	-	-	(42,706)	-	-	-	-	-	(42,706)
<b>Total, Operating Expenses</b>	<b>6,905</b>	<b>6,905</b>	<b>1,577,913</b>	<b>7,092</b>	<b>7,055</b>	<b>1,661,237</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>	<b>(31)</b>	<b>6</b>	<b>(117,124)</b>	<b>(8)</b>	<b>(8)</b>	<b>21,382</b>	<b>(23)</b>	<b>14</b>	<b>(138,506)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>6,905</b>	<b>6,905</b>	<b>1,577,913</b>	<b>7,092</b>	<b>7,055</b>	<b>1,661,237</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>	<b>(31)</b>	<b>6</b>	<b>(117,124)</b>	<b>(8)</b>	<b>(8)</b>	<b>21,382</b>	<b>(23)</b>	<b>14</b>	<b>(138,506)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>6,905</b>	<b>6,905</b>	<b>1,577,913</b>	<b>7,092</b>	<b>7,055</b>	<b>1,661,237</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>	<b>(31)</b>	<b>6</b>	<b>(117,124)</b>	<b>(8)</b>	<b>(8)</b>	<b>21,382</b>	<b>(23)</b>	<b>14</b>	<b>(138,506)</b>

FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.1 million, pursuant to P.L. 112-74.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**Protection of persons and facilities**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Protection of persons and facilities**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>3,730</b>	<b>3,730</b>	<b>807,654</b>
<b>2012 Enacted Budget Authority</b>	<b>3,817</b>	<b>3,782</b>	<b>832,463</b>
2013 Adjustments-to-Base	(95)	(60)	(20,217)
<b>2013 Current Services</b>	<b>3,722</b>	<b>3,722</b>	<b>812,246</b>
2013 Program Change	-	-	25,400
<b>2013 Total Requested Budget Authority</b>	<b>3,722</b>	<b>3,722</b>	<b>837,646</b>
Total Change 2012 to 2013	(95)	(60)	5,183

The United States Secret Service requests 3,722 positions, 3,722 FTE and \$837.6 million in FY 2013 for the Protection of persons and facilities PPA.

- Increase of \$2.3 million for 2013 pay raise
- Increase of \$900 thousand for the primary limousine program
- Increase \$2.7 million to annualize second year Operational Mission Support positions (35 FTE)
- Increase of \$13.3 million for Cyber Security Presidential Protection Measures
- Increase of \$12.1 million for Integrated Command and Control Systems
- Decrease of \$20.2 million for DHS-wide offsets
- Decrease of \$5.9 million to non-recur Operational Mission Support non-pay costs

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Secret Service provides for the physical safety of the President, Vice President, their families, and other individuals as designated by 18 U.S.C. § 3056 and secures facilities under Secret Service protection from all threats. This program is comprised of three distinct activity areas: (1) Protection of persons, (2) Protection of facilities, and (3) Protection of events.

**Protection of Persons**

After the assassination of President William McKinley in 1901, the Secret Service was directed by Congress to protect the President of the United States. This duty remains the primary protective responsibility of the Secret Service. Currently, the Secret Service is authorized by law to protect:

- The President, the Vice President (or other officer next in order of succession to the Office of President), the President-elect, and the Vice President-elect.
- The President's and Vice President's immediate family.
- Former Presidents, their spouses, and minor children under the age of 16.
- Foreign heads of state/government and their spouses visiting the U.S.
- Distinguished foreign visitors to the U.S., official representatives of the U.S. performing special missions abroad, and other individuals authorized protection by the President.
- Major Presidential and Vice Presidential candidates, and within 120 days of the general Presidential election, the spouses of such candidates.
- Events designated as National Special Security Events (NSSE) by the Department of Homeland Security (DHS) Secretary.

To protect permanent protectees, such as the President and Vice President, the Secret Service has permanent personnel assigned to conduct full-time protection. To ensure protectees receive the optimal level of protection, Secret Service personnel conduct extensive site advances to mitigate threats and vulnerabilities. From FY 2006 to FY 2010, Secret Service personnel participated in 7,236 protective travel stops for the President and Vice President, an average of 1,447 stops<sup>1</sup> per year.

By law, the President and Vice President cannot decline Secret Service protection. In 1997, Congress passed legislation limiting protection of former presidents to ten years after leaving office (P.L. 103-329), making President William J. Clinton the last President who will receive lifetime Secret Service protection.

Currently, the Secret Service staffs five permanent protective details to provide security for former First Lady Nancy Reagan, former President Carter and Rosalyn Carter, former President George H. Bush and Barbara Bush, former President William J. Clinton and Secretary Hillary Clinton, and former President George W. Bush and Laura Bush.<sup>2</sup> In support of travel by former Presidents and First Ladies, from FY 2006 to FY 2010, Secret Service personnel participated in 8,182 domestic and international travel stops, an average of 1,636 stops per year.

The Dignitary Protective Division (DPD) of the Secret Service provides the planning, organization and supervision of temporary protective security details for Presidential and Vice Presidential candidates/nominees, visiting foreign heads of state/heads of government and their accompanying spouses, specified domestic government officials, and others as directed by the President. These protective details are, in large part, staffed with personnel on temporary assignment from Secret Service field or headquarters offices. From FY 2006 to FY 2010, Secret Service personnel completed 10,747 foreign dignitary protective stops, an average of 2,149 per year. Furthermore, during the same period, 3,888 domestic/international travel stops were conducted by designated government officials who received Secret Service protection, an average of 777 travels stops per year.

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<sup>1</sup> The Secret Service defines a "stop" as a city or other definable subdivision visited by a protectee.

<sup>2</sup> The Secret Service currently shares protection of former First Lady, Secretary Hillary Clinton, with the Department of State. Additionally, protection of the former First Lady Betty Ford was discontinued following her death on July 8<sup>th</sup>, 2011.

The Secret Service further complements the protection of persons through programs which mitigate specialized threats or vulnerabilities. Under the oversight of the Office of Protective Operations (OPO), the Special Operations Division (SOD) is responsible for developing, implementing, coordinating, and managing specialized protective programs within the Secret Service. SOD provides appropriate tactical and other protective support to all Secret Service protective details, and works closely with field offices, and other law enforcement entities to establish a secure environment for designated protectees. These tactical programs include Counter Assault Teams (CAT), Emergency Response Teams (ERT), and Counter Sniper (CS) teams that were developed to address attacks from single shooters to full-scale armed assaults on protectees. Also, SOD supervises the Explosive Detections Canine Program, magnetometer screening, and the Hazardous Agent Mitigation Medical Emergency Response (HAMMER) Team, a team dedicated to respond to hazardous, toxic, chemical, biological, radiological, or oxygen deficient environments to locate, extract, decontaminate, and provide life-saving medical interventions for Secret Service protectees.

To further support the overall security of protectees and sites, the Secret Service Airspace Security Program develops, coordinates, and implements airspace security plans for venues visited by the President and Vice President or other designated protectees. Additionally, the Secret Service has the responsibility for developing an airspace security plan at NSSEs and other major events when required. This program is enhanced through appropriate coordination and liaison with the Federal Aviation Administration (FAA), the Department of Defense (DOD), the Department of Homeland Security (DHS), and within the DHS and Transportation Security Administration (TSA).

## **Protection of Facilities**

As authorized by 18 U.S.C. 3056A, the Secret Service is responsible for protecting permanent and temporary facilities around Washington, D.C. and the nation. These facilities include, but are not limited to: the White House Complex (WHC); the Vice President's Residence (VPR); foreign embassies or consulates; and the residences of former presidents. The fundamental component enabling the protection of Washington, D.C.-based facilities is the Secret Service Uniformed Division (UD).

In 1922, the UD began as the White House Police and was originally created as a separate and distinct organization (P.L. 67-300). The White House Police came under the direct supervision of the Secret Service in 1930. The mandate of the White House Police, incorporated in Title 3 of the U.S. Code, involved duties in connection with the protection of the WHC, as well as the President and his immediate family. Today, UD's legal authorities are primarily contained in 18 U.S.C. § 3056A.

The members of the UD assigned to the WHC process thousands of staff members, other workers/contractors, members of the press, and individuals with appointments into the WHC on a daily basis. Officers provide protection to the WHC through the effective use of fixed posts, foot and bicycle patrols, police cruisers and specialized units (i.e., Counter Sniper, Counter Surveillance, Explosive Detection Canine, and the Emergency Response Team). In addition to the WHC, in 1974, as designated by P.L. 93-552, the UD assumed similar protective responsibilities at the VPR located at the U.S. Naval Observatory, Washington, D.C.



Since 1970, as authorized by P.L. 91-217, UD officers assigned to the Foreign Missions Branch have been responsible for providing external protection and serving as a liaison to 580 foreign embassies and/or diplomatic missions in Washington, D.C.

The Uniform Division provides magnetometer and portable x-ray support coverage at designated sites for the President, Vice President and selected dignitaries. Following the assassination attempt on President Ronald Reagan in May 1981, magnetometers have been regularly used by the Secret Service. Officers are responsible for the deterrence and detection of all weapons at any site that may be deemed a threat. This is accomplished through the use of walk-through metal detectors, handheld metal detectors, portable x-ray machines, physical searches of hand carried items, and explosive detection canines. In addition, officers are responsible for general observation and site security. From FY 2006 to FY 2010, UD magnetometers screened 12,977,459 guests in support of Secret Service protective sites, an average of 2,595,492 guests per year.

In order to provide a technically secure environment for the President, Vice President, and other protectees, wherever they may reside or travel, the Secret Service makes use of technology-based assets available through the Technical Security Division (TSD). TSD plans, designs, develops, implements, installs, and maintains technical security detection systems to include intrusion, camera surveillance, and radiation and fire systems for Secret Service protected sites. Further, they administer a comprehensive program of countermeasures against explosives, chemical, biological, and radiological hazards.

The Secret Service's Operational Mission Support (OMS) program funds advanced protective countermeasure projects and support for associated personnel critical to addressing known and evolving threats. It is critical that the Secret Service continually refresh and update/upgrade responding to a myriad of threats in order to ensure a safe environment for the President. Funding is requested for equipment, training, and personnel needed to address current and potential threats directed at the President and the White House complex. OMS began with reprogrammed funds in FY 2010 and first received appropriated funds in FY 2012. FY 2013 requested funding will continue this critical multi-year initiative.

## **Protection of Events**

The Secret Service plans, directs, and executes security operations at designated major events in order to prevent and counter terrorist and criminal attacks directed towards the event and its participants, including Secret Service protectees. Past major events have included annual meetings of international organizations such as the United Nations General Assembly, International Monetary Fund and World Bank meetings, and global summits. Additionally, Dignitary Protective Division (DPD) provides Federal, State, and local law enforcement agencies with guidance and training for the execution of security plans at special events occurring throughout the United States.

The above requested amount provides funding for operational security which directly supports the 2010 DHS Quadrennial Homeland Security Review QHSR, Goal 1.3.2, Protect critical infrastructure, and Goal 1.3.4, Protecting government leaders, facilities, and special events. The funding specifically permits the Secret Service to provide or acquire the security measures needed to protect designated campaign sites, candidates and their families.

Further, funding this activity supports the Secret Service's strategic performance measure of:

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**National Special Security Event Fund**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: National Special Security Event Fund**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>5,846</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>19,307</b>
2013 Adjustments-to-Base	-	-	(18,307)
<b>2013 Current Services</b>	-	-	<b>1,000</b>
2013 Program Change	-	-	3,500
<b>2013 Total Requested Budget Authority</b>	-	-	<b>4,500</b>
Total Change 2012 to 2013	-	-	(14,807)

The United States Secret Service requests 0 positions, 0 FTE and \$4.5 million in FY 2013 for the National Special Security Event (NSSE) Fund PPA.

- Increase of \$3.5 million for NSSEs
- Decrease of \$7.3 million for the APEC Summit (non-recur)
- Decrease of \$5.3 million for the NATO Summit (non-recur)
- Decrease of \$5.7 million for the G-8 Summit (non-recur)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Under the authorities granted by Presidential Decision Directive 62 (1998), the Homeland Security Act (2002), Homeland Security Presidential Directives 5, 7 (2003) and 15 (2007), 18 U.S.C. § 3056 (amended 2005), and National Security Presidential Directive 46 (2007), the Secret Service is the lead agency for planning, coordinating, and implementing security operations at designated NSSEs.

A request for NSSE designation originates from the governor of the state hosting the event or, in the case of Washington, D.C., its mayor. Subsequently, a NSSE Working Group comprised of the Secret Service, Federal Bureau of Investigations (FBI), Federal Emergency Management Agency (FEMA) and DHS considers specific security-related factors and provides a recommendation to the Secretary of Homeland Security for final approval.

Since 1998, as an integral component of the homeland security mission, the Secret Service has implemented 38 security plans for NSSEs. Past NSSEs have included high-profile events such as:

Super Bowl XXXVI (New Orleans, 2002), the XIX Winter Olympic Games (Salt Lake City 2002), various global summits (i.e. G-8, G-20, NATO, etc.), state funerals, Democratic and Republican National Conventions, and presidential inaugurations and associated events. The goal of the Secret Service and its partner agencies is to develop and implement a comprehensive operational security plan that provides a safe and secure environment for Secret Service protectees, other dignitaries, event participants, and the general public, while safeguarding people's lawful freedoms of speech, assembly, and petition of the government. To accomplish an integrated security operation for NSSEs, Secret Service personnel collaborate with Federal, State, county, and local counterparts. A central component of this collaboration is the establishment of an executive steering committee and up to as many as 24 subcommittees.

From September 1998 to January 2011, the Secret Service has planned and implemented comprehensive operational security plans for 24 of 38 total NSSEs that were unrelated to a presidential campaign. This translates into an average of 1.7 non-campaign NSSEs per year. Secret Service costs associated with these events varied from \$320,000 (Former President Gerald Ford State Funeral) to \$34.26 million (XIX Winter Olympic Games)<sup>3</sup>, averaging \$5.4 million per event, and the duration of these events varied from 1 to 17 days, at an average length of 4.3 days.

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<sup>3</sup> These costs are not adjusted for inflation and do not account for ten (10) State of the Union Address NSSEs as these events are limited in duration and exclusively utilize Washington, D.C. based personnel and resources.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**Protective intelligence activities**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Protective intelligence activities**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>529</b>	<b>529</b>	<b>67,900</b>
<b>2012 Enacted Budget Authority</b>	<b>535</b>	<b>535</b>	<b>68,125</b>
2013 Adjustments-to-Base	-	-	248
<b>2013 Current Services</b>	<b>535</b>	<b>535</b>	<b>68,373</b>
<b>2013 Total Requested Budget Authority</b>	<b>535</b>	<b>535</b>	<b>68,373</b>
Total Change 2012 to 2013	-	-	248

The United States Secret Service requests 535 positions, 535 FTE and \$68.4 million in FY 2013 for the Protective intelligence activities PPA.

- Increase of \$248 thousand for 2013 pay raise

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Under the statutory authorities described in 18 U.S.C. § 3056, the Secret Service maintains a robust protective intelligence program to ensure the safety of Secret Service protectees and protected sites. The Secret Service’s protective intelligence program is conducted in direct collaboration with all U.S. government intelligence agencies and state and local law enforcement at every level.

The Secret Service devotes 535 headquarters and field office personnel FTE to execute the protective intelligence mission. These personnel are responsible for conducting, guiding, and providing oversight for all protective intelligence investigations and advances. The Protective Intelligence and Assessment Division (PID) specifically designates special agents and intelligence research specialists to analyze, evaluate, disseminate, and manage information about individuals, groups, and activities that pose potential risks to Secret Service interests. PID personnel provide threat assessments, briefings, and other information pertinent to protective intelligence activities. Responsibilities also include analyzing and disseminating information pertaining to threat assessment and the prevention of targeted violence through the National Threat Assessment Center (NTAC).

To support protective intelligence operations of the Secret Service, PID engages in the following activities:

- Maintains a 24-hour Operations Center to process, evaluate, and refer for investigation threat information relating to protective interests received from all sources.
- Provides leadership, direction and support regarding protective intelligence matters to the 142 domestic and 24 international offices of the Secret Service.
- Conducts and coordinates domestic and foreign protective intelligence assessments in support of the President, Vice President, and other designated protectees.
- Publishes risk assessments regarding the potential exposure to danger for individuals, venues, and infrastructure protected by the Secret Service.
- Reviews and analyzes classified cables/information received from the Intelligence Community affecting Secret Service protected interests.
- Maintains extensive liaison with the law enforcement and intelligence communities in order to share protective intelligence information, and when necessary, operational assistance in resolving threats, to include the oversight and coordination of the Secret Service participation in 58 FBI Joint Terrorism Task Forces.
- Provides training to internal and external partners on the latest techniques and practices used by terrorist organizations through its Critical Protective Analysis Group.
- Reviews threatening and inappropriate electronic communications to research and develop investigative leads via the Internet Threat Unit.
- Establishes and operates Protective Intelligence Coordinating Centers for designated National Special Security Events and the United Nations General Assembly.
- Presents briefings on “Terrorist Trends and Tactics,” and “Preventing Assassination, a behavior-based approach based on the Exceptional Case Study Project” to Secret Service personnel and external representatives of the intelligence community, foreign governments, federal, state, local, and tribal law enforcement agencies, and corporate security.
- Conducts research and education on the phenomenon of targeted violence.

In support of these activities, from 2006 to 2010, Secret Service personnel assigned to headquarters and various field offices provided protective intelligence functions for 33,237 domestic and international travel stops (an average of over 6,647 per year). During this same time frame, PID prepared 4,356 threat assessments and opened 19,307 protective intelligence investigations (an average of 3,861 per year).

The requested amount funds protective intelligence activities in a strategic context which specifically addresses the missions and goals set forth by the 2010 DHS QHSR in Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.2, Protect Critical Infrastructure, and Goal 1.3.4, Protect government leaders, facilities, and special events.

Further, funding this activity supports the Secret Service strategic and operational performance measures of:

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*
- *Percent of National Security Events that were successfully completed.*
- *Number of protective intelligence cases completed regarding threats to protectees.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**Presidential candidate nominee protection**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Presidential candidate nominee protection**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>24</b>	<b>24</b>	<b>17,461</b>
<b>2012 Enacted Budget Authority</b>	<b>275</b>	<b>275</b>	<b>113,462</b>
2013 Adjustments-to-Base	(105)	(105)	(55,502)
<b>2013 Current Services</b>	<b>170</b>	<b>170</b>	<b>57,960</b>
<b>2013 Total Requested Budget Authority</b>	<b>170</b>	<b>170</b>	<b>57,960</b>
Total Change 2012 to 2013	(105)	(105)	(55,502)

The United States Secret Service requests 170 positions, 170 FTE and \$58.0 million in FY 2013 for the Presidential candidate nominee protection PPA.

- Decrease of \$12.9 million to shift existing base labor resources to the Domestic field operations PPA (95 FTE)
- Decrease of \$1.4 million to shift existing base labor resources to the ECSAP/ECTF PPA (10 FTE)
- Decrease of \$41.2 million to non-recur costs for the 2012 Presidential Campaign

**CURRENT SERVICES PROGRAM DESCRIPTION:**

As a result of presidential candidate Robert F. Kennedy’s assassination in 1968, Congress expanded the Secret Service’s authorities as established in 18 U.S.C § 3056 to include the protection of major Presidential candidates, Vice Presidential candidates, and nominees (P.L. 90-331). Additionally, within 120 days of the general Presidential election spouses of eligible candidates are authorized to receive protection.

By statute, the Secretary of Homeland Security (DHS) determines who qualifies as a major Presidential or Vice Presidential candidate in consultation with a Congressional Advisory Committee comprised of the Speaker of the House of Representatives, the minority leader of the House of Representatives, the majority and minority leaders of the Senate, and one additional member selected by the other members of the committee. Secret Service protective details are formally activated once a candidate: 1) meets the requirements for major candidate status, 2) requests protection, and 3) receives authorization from the DHS Secretary.

Historically, as the general election approaches, the Secret Service experiences a marked increase in protection stops related to presidential candidate activities. In support of the active campaign cycle, Secret Service field office personnel are a critical and integral source of manpower utilized to advance the travel stops and staff the designated protective details. For instance, during the 2008 Presidential Campaign, the Secret Service provided candidate protection for three major Presidential candidates (Senators Obama, Clinton, and McCain), two Vice Presidential candidates, four candidate spouses, and eight children. Further, Secret Service personnel conducted security advances for 3,184 candidate travel stops, including 980 travel stops specific to FY 2009 dated from October 1, 2008 to January 20, 2009.



**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**White House mail screening**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: White House mail screening**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>9,883</b>
<b>2012 Enacted Budget Authority</b>	<b>7</b>	<b>7</b>	<b>18,472</b>
2013 Adjustments-to-Base	-	-	1,383
<b>2013 Current Services</b>	<b>7</b>	<b>7</b>	<b>19,855</b>
<b>2013 Total Requested Budget Authority</b>	<b>7</b>	<b>7</b>	<b>19,855</b>
Total Change 2012 to 2013	-	-	1,383

The United States Secret Service requests 7 positions, 7 FTE and \$19.9 million in FY 2013 for the White House mail screening PPA.

- Increase of \$6 thousand for the 2013 pay raise
- Increase of \$1.377 million to support White House mail screening activities

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Since 2002, the Secret Service has provided management and oversight of the mail screening security program responsible for examining all incoming mail, parcels, and gifts destined for the White House Complex. The goal of this security enhancement program is for the detection of select chemical, biological, radiological, nuclear and explosive (CBRNE) hazards to occur at a remote location in order to contain, mitigate, and investigate any vulnerability posed by these threats. This program originally functioned at a repurposed military warehouse located in Edgewood, Maryland. In 2010, the Secret Service assumed permanent and sole responsibility of its own mail screening facility in Washington, D.C.

The Secret Service's White House Mail Screening Facility receives all delivered mail and other items from the Executive Office of the President (EOP) for screening. Upon receipt, security personnel and technical specialists utilize strict protocols to sample the mail for contamination and monitor the environment for potentially hazardous substances. Any items determined to contain possible contaminants are subjected to analysis at an on-site laboratory, quarantined at the facility pending substance identification, and subjected to any appropriate mitigation procedures. Once screened items are identified as posing no security risks, they are released back to EOP for administrative processing

and distribution. From FY 2008 to FY 2010, this Secret Service program screened over 6.78 million pieces of mail and other items for CBRNE hazards.

The above requested amount provides operational funding for the White House mail screening program. This program is aligned with the missions and goals set forth by the 2010 DHS QHSR in Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.2, Protect Critical Infrastructure and Goal 1.3.4, Protect government leaders, facilities and special events.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Domestic field operations**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Domestic field operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,625</b>	<b>1,625</b>	<b>261,558</b>
<b>2012 Enacted Budget Authority</b>	<b>1,457</b>	<b>1,457</b>	<b>223,991</b>
2013 Adjustments-to-Base	69	69	14,562
<b>2013 Current Services</b>	<b>1,526</b>	<b>1,526</b>	<b>238,553</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,526</b>	<b>1,526</b>	<b>238,553</b>
Total Change 2012 to 2013	69	69	14,562

The United States Secret Service requests 1,526 positions, 1,526 FTE and \$238.6 million in FY 2013 for the Domestic field operations PPA.

- Increase of \$837 thousand for 2013 pay raise
- Increase of \$12.877 million (95 FTE) to shift existing base labor resources from the Presidential candidate nominee protection PPA
- Increase of \$848 thousand (12 FTE) to shift resources from NCMEC PPA

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Since 1865, the Secret Service’s investigative responsibilities provided under 18 U.S.C. § 3056 has been modified to adapt to the evolving threats to our financial institutions. Specifically, over the last two decades, the Secret Service has been authorized to investigate emerging crimes in the areas of access device fraud (18 U.S.C. § 1029), identity theft (18 U.S.C. § 1028), computer fraud (18 U.S.C. § 1030), and bank fraud (18 U.S.C. § 1344).

The Secret Service currently operates 142 domestic offices to principally carry out the investigative mission. These offices remain committed to the historical mission of combating counterfeiting by working closely with state and local law enforcement agencies as a means of continuing to aggressively pursue counterfeiters. With investigative jurisdiction over a number of financial crimes, Secret Service field offices work diligently to reduce the amount of financial losses affecting the U.S. economy. A primary goal remains a reduction in the proportion of counterfeit currency relative to the amount of genuine U.S. currency in circulation. Personnel assigned to domestic offices currently staff 29 Electronic Crimes Task Forces (ECTF) and 38 Financial Crimes Task Forces (FCTF) designed to combine the resources of academia, the private sector, and all levels of law enforcement to combat

threats against our financial payment systems and critical infrastructure. As a result, to support these task forces, domestic office special agents are trained to conduct computer forensic examinations through the Secret Service's Electronic Crimes Special Agent Program (ECSAP).

From FY 2006 to FY 2010, in the area of criminal investigations, Secret Service field offices reported a yearly average of 7,140 arrests. Investigative efforts yielded an estimated average of \$4.79 billion in potential loss prevented, of which \$1.67 billion involved cyber related crimes. Further, during this time, seizures of criminal assets totaled on average \$69 million per year.

In response to passage of the Fraud Enforcement Recovery Act of 2009, the Secret Service's FY 2010 investigative efforts into mortgage fraud led to 322 arrests, \$234 million in loss averted and \$135 million in actual loss identified.

Beyond investigative efforts, Secret Service field personnel are also a critical source of manpower required to accomplish the protective mission. Given the time sensitive nature of threat investigations, as well as the uncertainty of protective travel demands, the Secret Service has strategically located a network of domestic and international offices. Field personnel are able to conduct protective advances, travel to support protectee visits, and provide protection to visiting foreign heads of state/government. Field personnel are also responsible for investigating threats and matters of unusual interests directed towards the President, Vice President and other officials protected by the Secret Service. When investigating threats against any protectees, the Secret Service frequently works with federal, state and local law enforcement partners. The Secret Service has personnel assigned to each FBI Joint Terrorism Task Force (JTTF), including the National JTTF. This information sharing is critical to the success of these investigations.

From FY 2006 to FY 2010, Secret Service domestic field office personnel supported an average of 6,041 domestic travel stops and 83 international travel stops as well as completed an average of 2,149 foreign dignitary protective stops which involved an average of 199 heads of state/government, and 94 spouses.

The above requested amount provides funding for Secret Service domestic field operations in a strategic context specifically aligned with the missions and goals set forth by the 2010 DHS QHSR Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.4, Protecting Government Leaders, Facilities, and Special Events; Mission 4: Safeguarding and Securing Cyber Space, Goal 4.1.3, Prevent Cyber Crime and Other Malicious Uses of Cyber Space; and Mission 6: Maturing and Strengthening the Homeland Security Enterprise.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Financial crimes loss prevented through criminal investigation (in billions).*
- *Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).*
- *Percent of currency identified as counterfeit.*
- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**International field office administration and operations**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: International field office administration and operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>65</b>	<b>65</b>	<b>30,897</b>
<b>2012 Enacted Budget Authority</b>	<b>77</b>	<b>76</b>	<b>32,971</b>
2013 Adjustments-to-Base	(3)	(2)	(1,955)
<b>2013 Current Services</b>	<b>74</b>	<b>74</b>	<b>31,016</b>
<b>2013 Total Requested Budget Authority</b>	<b>74</b>	<b>74</b>	<b>31,016</b>
Total Change 2012 to 2013	(3)	(2)	(1,955)

The United States Secret Service requests 74 positions, 74 FTE and \$31.0 million in FY 2013 for the International field office administration and operations PPA.

- Increase of \$45 thousand for 2013 pay raise
- Decrease of \$2.0 million to non-recur funding for the for international field office administration and operations (2) FTE

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Secret Service’s first international office was established in Paris in 1963 in an effort to combat the proliferation of counterfeit U.S. currency produced overseas. Today, the Secret Service must operate outside the borders of the United States to forge effective partnerships combating transnational crime and eliminating threats directed towards our nation’s leaders. The Secret Service maintains 24 overseas offices in 19 countries in support of its mission to safeguard our nation’s financial infrastructure and protect the President, Vice President, and other designated officials traveling abroad.

Through its international presence, the Secret Service continues to enhance national security by protecting financial infrastructure through multi-lateral investigations that enhance the safety of cyberspace. For example, personnel assigned in Europe participate in three Cyber Crime Working Groups (the Baltics, Netherlands, and Ukraine) and two Electronic Crimes Task Forces/ECTF (London and Rome). These groups serve as partners in the international law enforcement community to exchange criminal intelligence about those targeting U.S. individuals, private entities, or financial

infrastructure for harm. In an effort to strengthen foreign membership to the ECTFs, the Secret Service partnered with law enforcement representatives from Belgium, Germany, France, Spain, Norway, Moldova, and Russia to identify areas of mutual investigative interests to combat cyber crime targeting the interconnected financial systems. These international Secret Service activities have ensured that criminal organizations engaged in high-consequence or wide-scale cyber crime are aggressively investigated and disrupted, and their leaders arrested, indicted, and prosecuted. Recently, in Peru, where organized criminal groups manufacture large quantities of counterfeit U.S. currency, the Secret Service has established a partnership in 2009 with the national police via the Peruvian Counterfeit Task Force (PCTF). From 2009 to 2011, the work done by the PCTF has yielded 58 arrests, six major counterfeit plant suppressions, and the seizure of over \$33 million in counterfeit U.S. currency. The Secret Service's PCTF model is based on the success of a similar model developed in Colombia, where since 2001, vetted anti-counterfeiting forces in Colombia have seized over \$262 million in counterfeit U.S. currency, suppressed over 113 counterfeit printing plants, and made over 665 arrests. This action has resulted in a 70% reduction in the amount of Colombian-produced counterfeit U.S. currency being passed in the United States.

In FY 2010, Secret Service international offices assisted their counterparts in securing the arrest of 813 criminal suspects implicated in currency counterfeiting, financial crimes and cyber cases. They seized \$241 million in counterfeit U.S. currency before it could be introduced into worldwide circulation, and aided in financial crime investigations that identified \$147 million in potential losses.

In support of the Secret Service protective mission, international offices conducted 515 protective security advances to numerous countries visited by Secret Service protectees (a 42% increase from FY 2009).

Lastly, the Secret Service continually examines the location and placement of international offices to ensure agency assets are efficiently placed to address emerging criminal trends or protection mission requirements. For example, in FY 2011 the Secret Service established a Resident Office in Beijing, China to address emerging financial crimes that threaten the economic stability of the United States, and to better facilitate protectee travel to that region. In FY 2012, the Secret Service will establish a full-time presence in Lima, Peru to investigate the significant increase in the worldwide passing activity of counterfeit United States currency originating in that region. To partially offset the out year expenses associated with these two offices, the Secret Service has begun the process of closing its Resident Office in Toronto, Canada.

The above requested amount provides funding for Secret Service international field operations in a strategic context specifically aligned with the missions and goals set forth by the 2010 DHS QHSR Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.4, Protecting Government Leaders, Facilities, and Special Events; Mission 4: Safeguarding and Securing Cyber Space, Goal 4.1.3, Prevent Cyber Crime and Other Malicious Uses of Cyber Space; and Mission 6: Maturing and Strengthening the Homeland Security Enterprise.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Financial crimes loss prevented through criminal investigation (in billions).*
- *Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).*
- *Percent of currency identified as counterfeit.*

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Electronic crimes special agent program and electronic crimes task forces**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Electronic crimes special agent program and electronic crimes task forces**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>314</b>	<b>314</b>	<b>56,312</b>
<b>2012 Enacted Budget Authority</b>	<b>290</b>	<b>290</b>	<b>53,051</b>
2013 Adjustments-to-Base	3	3	1,604
<b>2013 Current Services</b>	<b>293</b>	<b>293</b>	<b>54,655</b>
<b>2013 Total Requested Budget Authority</b>	<b>293</b>	<b>293</b>	<b>54,655</b>
Total Change 2012 to 2013	3	3	1,604

The United States Secret Service requests 293 positions, 293 FTE and \$54.7 million in FY 2013 for the electronic crimes special agent program and electronic crimes task forces PPA.

- Increase of \$173 thousand for 2013 pay raise
- Increase of \$1.431 million (10 FTE) to shift existing base labor resources from the Presidential candidate nominee protection PPA
- Decrease of (7) FTE for White House Mail

**CURRENT SERVICES PROGRAM DESCRIPTION:**

With more than 146 years of investigative expertise in financial crimes, the Secret Service has continued to evolve in order to protect the U.S. financial system. The Secret Service has a pivotal role in securing the nation’s critical infrastructures, specifically, in the areas of telecommunications, banking, and finance. With the passage of the 2001 USA PATRIOT Act (P.L. 107-56), the Secret Service was mandated to establish a nationwide network of Electronic Crimes Task Forces (ECTF) to “prevent, detect, and investigate various forms of electronic crimes, including potential terrorist attacks against critical infrastructure and financial payment systems.” Today, the Secret Service maintains a robust program to fight cyber crime and other forms of illegal computer activity that threaten our nation’s financial payment systems.

The Secret Service currently operates 31 ECTFs around the world. The structure of these ECTFs is designed to combine the resources of academia, the private sector, and all levels of law enforcement in order to combat computer-based threats. Through this task force approach, the Secret Service and its partners are able to share information and identify weaknesses that maximize the group’s ability to combat criminal cyber activity and focus heavily on investigations of network intrusions, hacking attacks, phishing schemes, skimming, access device fraud, carding portals, wire fraud, use of malicious



software, and other computer related offenses. Membership in Secret Service ECTFs currently include: 366 academic partners, over 2,495 international, federal, state, and local law enforcement partners, and over 4,093 private sector partners. The Secret Service special agents assigned to ECTFs are uniquely trained in the area of computer forensics and network intrusion investigations. Each ECTF member must complete advanced training geared to enhance the ECTF model.

The Electronic Crimes Special Agent Program (ECSAP) was established to provide special agents with basic and advanced computer forensics training in order to conduct investigative examinations on electronic evidence obtained from computers, personal data assistants, and other forms of electronic media. Specifically, the program, currently comprised of over 1,400 special agents, is divided into three levels of training:

- **Level I – Basic Investigation of Computers and Electronic Crimes (BICEP):** Training designed to provide special agents with a basic understanding of computers and several aspects of electronic crimes investigations.
- **Level II – Network Intrusion Responder (ECSAP-NI):** Training designed to provide special agents with specialized skills and equipment that allow them to respond and investigate network intrusions. ECSAP-NI agents are able to identify critical artifacts that allow for effective investigation of identity theft, malicious hacking, unauthorized access, and various other related electronic crimes.
- **Level III – Computer Forensics (ECSAP-CF):** Training designed to provide special agents with specialized skills and equipment that allow them to investigate and forensically obtain digital evidence. Forensically-obtained digital evidence can then be utilized in the prosecution of various electronic crime cases as well as criminally-focused intelligence cases.

Through ECSAP, the Secret Service is able to maintain a base of subject matter experts within the area of cyber crime. As a result, the Secret Service is continually recognized by public and private entities as one of the most authoritative and effective U.S. government agencies in combating cyber crime.

In an effort to provide a national standard of training for variety of electronic crimes investigations, a partnership between the Secret Service, DHS's National Protection and Programs Directorate (NPPD), the State of Alabama and the Alabama District Attorney's Association was formalized through the National Computer Forensic Institute (NCFI) located in Hoover, AL. This program offers State and local law enforcement officers, prosecutors, and judges training in conducting computer forensics examinations. Investigators are also trained to respond to network intrusion incidents and conduct electronic crimes investigations.

Based upon the emerging use of mobile devices to communicate, the Secret Service developed a partnership with the University of Tulsa, OK. As a result of this partnership, the Secret Service established Cell Phone Forensics Facility, which ranks among the best in the world for its capabilities, conducts training, examinations, and research in the field of mobile device forensics, such as skimmers, cell phones, and GPS units. Since 2008, over 5,000 mobile device examinations have been conducted.

Both ECTF and ECSAP provide the expertise and toolsets necessary to combat the ever-increasing number, scope, and sophistication of criminal organizations and other malicious actors engaged in high-consequence or wide-scale cyber crime.

The above requested amount provides funding for Secret Service ECSAP and ECTFs in a strategic context specifically aligned with the missions and goals set forth by the 2010 DHS QHSR Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.4, Protecting Government Leaders, Facilities, and Special Events; Mission 4: Safeguarding and Securing Cyber Space, Goal 4.1.3, Prevent Cyber Crime and Other Malicious Uses of Cyber Space.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).*
- *Financial crimes loss prevented through criminal investigation (in billions).*
- *Percent of currency identified as counterfeit.*
- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security  
U.S. Secret Service  
Operating Expenses  
Forensic support and grants to NCMEC  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Forensic support and grants to NCMEC**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>20</b>	<b>20</b>	<b>8,103</b>
<b>2012 Enacted Budget Authority</b>	<b>20</b>	<b>20</b>	<b>8,366</b>
2013 Adjustments-to-Base	(12)	(12)	(848)
<b>2013 Current Services</b>	<b>8</b>	<b>8</b>	<b>7,518</b>
2013 Program Change	(8)	(8)	(7,518)
<b>2013 Total Requested Budget Authority</b>	<b>-</b>	<b>-</b>	<b>-</b>
Total Change 2012 to 2013	(20)	(20)	(8,366)

The United States Secret Service requests 0 positions, 0 FTE and \$0 million in FY 2013 for the Forensic support and grants to NCMEC PPA.

- Decrease of \$8.4 million to reduce the forensic support and grants to missing and exploited children

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Under the provisions of the Violent Crime Control Act of 1994, the Secret Service was directed to provide forensic support through a Task Force to the National Center for Missing and Exploited Children (NCMEC). Subsequently, the PROTECT Act of 2003 amended 18 U.S.C. § 3056 to authorize the Secret Service “to provide forensic and investigative assistance in support of any investigation involving missing or exploited children.” The historical recipient of grant funding related to missing and exploited children has been NCMEC.

The Secret Service currently provides investigative assistance and liaison to NCMEC headquarters staff by facilitating services available through the Secret Service Forensic Services Division (FSD). FSD capabilities include: polygraph examinations, handwriting examinations, voiceprint comparisons, audio and video enhancements, age progressions, and fingerprint identification.

The majority of cases in which the Secret Service provides assistance involve child pornography or online enticement of a child for sexual purposes. Since 1997, in relation to missing and exploited

children, the Secret Service annually opens an average of 177 investigative cases, conducts 87 polygraph examinations, and completes 168 electronic (media and/or computer) examinations.

Total FY 2012 funding level allowed the Secret Service to provide state-of-the-art forensics support, and \$6 million in grant funds, for investigations/activities involving missing and exploited children.

The funding request for forensic support and grant to missing and exploited children is being eliminated in FY 2013 redirect critical resources to USSS priority mission programs. Grant funding support for NCMEC will be consolidated and will continue within the Department of Justice's Office of Justice Programs (OJP). The Secret Service proposes to transfer \$0.9 million in funding to the Domestic Field Office PPA to continue future forensic and investigative support for priority missing and exploited children cases within the Forensic Services Division.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Headquarters, management and administration**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Headquarters, management and administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>330</b>	<b>330</b>	<b>255,869</b>
<b>2012 Enacted Budget Authority</b>	<b>331</b>	<b>330</b>	<b>191,588</b>
2013 Adjustments-to-Base	120	121	(16,919)
<b>2013 Current Services</b>	<b>451</b>	<b>451</b>	<b>174,669</b>
<b>2013 Total Requested Budget Authority</b>	<b>451</b>	<b>451</b>	<b>174,669</b>
Total Change 2012 to 2013	120	121	(16,919)

The United States Secret Service requests 451 positions, 451 FTE and \$174.7 million in FY 2013 for the Headquarters, management and administration PPA.

- Increase of \$335 thousand for 2013 pay raise
- Increase of \$284 thousand to annualize second year acquisition workforce
- Decrease of \$17.538 million in DHS-wide offsets

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Integral to the support and execution of the Secret Service’s dual mission, the Headquarters, Management and Administration program develops and administers Secret Service-wide policies, plans, and procedures in acquisition, budget, accounting, financial systems, statements, and relocation and travel services. It exercises accountability over the collection and disposition of the Secret Service's financial resources. Specifically, components of this program examine and process documents for payment of contracts, purchase orders, invoices and recurring expenses. The program also provides management and program analysis support and oversight to all operational and administrative programs involving efforts relating to organizational structuring, workflow efficiencies, staffing allocations, statistics, policy development, management of Federal records, internal controls, and strategic planning. The Secret Service will be continuing the focus on strengthening the capabilities of the acquisition workforce through training and development initiatives, information technology enhancements and acquisition management improvements consistent with the agency acquisition human capital plan. Additionally, through the review and assessment of business and

operational offices, programs, and practices, the program ensures that Secret Service offices and programs comply with Secret Service policies and Federal regulations and operate efficiently and effectively. The primary components of this program are: (1) Administrative Operations, (2) Financial Management, and (3) Program Management. Also, this program, under the leadership of the Chief Information Officer, is responsible for the development, coordination, implementation, and oversight of enterprise solutions including new IT technologies or investments.

### **Administrative Operations** (Facility and Property Management)

The Administrative Operations Division (AOD) plans, develops, and administers policies and procedures related to facility and property management, as well as performs associated activities for a variety of real and personal property management areas to support Secret Service Headquarters, 142 domestic and 24 international offices. As the single Secret Service acquisition agent between General Service Administration (GSA), as well as the Department of State, AOD manages the acquisition, construction and renovation of owned or leased real property. Further, AOD manages the administration of issued personal property for approximately 7,000 employees, vehicle fleet management, mail distribution, and supply administration. Focused on civic and fiscal responsibility, AOD in concert with the Safety Health and Environmental Program Division also develops and executes policies for environmental management, energy conservation, and other related programs.

The program also organized and coordinated facilities and property management for the 2011 State of the Union Address and the 66<sup>th</sup> session of the United Nations General Assembly (UNGA) in New York, NY, which included the planning, preparation, establishment, and deactivation of permanent and temporary protective sites.

### **Financial Management** (Finance, Procurement, and Travel)

The Financial Management program develops specific business systems to facilitate core financial accounting and reporting, as well as procurement, travel, and relocation management. This programmatic responsibility includes the production of meaningful reports and analysis that enables the Secret Service to make better financial decisions. Furthermore, activity by the Financial Management program fosters the interface between administrative systems, and supports system users through training, communications, and technical services.

The Secret Service works diligently to accurately translate agency needs into dollars/resources and manage the timely and accurate documentation, payment, and reporting for acquired goods and services. In FY 2010, this program managed over 2,500 contract actions with an obligated value at \$259 million.

To maximize the Secret Service's purchasing power and operational efficiency as they relate to travel, the Logistics Resource Center (LRC) was created by the Office of Administration. The LRC provides a clearinghouse for all protective, investigative, and training related travel by working cross-functionally amongst all business units to identify the most advantageous mode of transportation whether it is by government vehicle, train, airplane, or military charter. Since 2008, it is estimated that the LRC has avoided over \$200 million in commercial travel costs.

## **Program Management (Management and Organization)**

The Program Management activity supports accomplishment of Secret Service core missions through informed analysis, consultation, and decision support. Through its various products and services, the program assists the Secret Service in meeting its evolving responsibilities, improves its performance and ensures accountability to stakeholders, policy development, and provides recommendations and solutions to address management challenges.

Using performance data and statistical systems, this activity analyzes and reports on data from six (6) databases to inform organizational change and inform decision making. It establishes, develops, implements, and manages the strategic planning process for the Secret Service and coordinates Secret Service participation in all Department of Homeland Security (DHS) and government-wide management improvement and evaluation programs, such as: the DHS planning and performance measurement processes, including the DHS Issue Teams, DHS Strategic Community Forum, DHS Performance Team Working Group and associated activities.

## **Chief Information Officer**

During FY 2011, the Secret Service established and appointed a Chief Information Officer (CIO) to develop, coordinate, oversee, and integrate the agency's IT activities and investments. The CIO's charge is to ensure the IT infrastructure and communications systems are commensurate with the agency's mission. In FY 2013, if approved, the Secret Service plans to upgrade its IT infrastructure and database architecture so that it is able to fully support evolving technological advancements (i.e., internet protocol, IPv6) through its various Information Integration and Transformation (IIT) initiatives. The Secret Service also plans to continue the migration of systems and applications to the two DHS Enterprise Data Centers. This effort will enable alternatives to share common DHS infrastructure.

Information Integration and Technology Transformation, formerly known as Information Integration and Transformation (IIT), includes IT modernization and related investments. Many of these projects will proceed through a requirements/cost/alternatives assessment phase, design phase, initial implementation (beta-testing) phase and, finally, full deployment. Non-pay Information Integration and Technology Transformation funding is being transferred to Acquisition, Construction, and Improvements (ACI).

The above requested amount provides funding for Secret Service headquarters operations in a strategic context specifically aligned with the missions and goals set forth by the 2010 DHS QHSR Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.4, Protecting Government Leaders, Facilities, and Special Events; Mission 4: Safeguarding and Securing Cyber Space, Goal 4.1.3, Prevent Cyber Crime and Other Malicious Uses of Cyber Space; and Mission 6: Maturing and Strengthening the Homeland Security Enterprise.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Financial crimes loss prevented through criminal investigation (in billions).*

- *Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).*
- *Percent of currency identified as counterfeit.*
- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.



**Department of Homeland Security  
U.S. Secret Service  
Operating Expenses  
Rowley training center  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Rowley training center**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>268</b>	<b>268</b>	<b>56,430</b>
<b>2012 Enacted Budget Authority</b>	<b>273</b>	<b>273</b>	<b>55,598</b>
2013 Adjustments-to-Base	-	-	151
<b>2013 Current Services</b>	<b>273</b>	<b>273</b>	<b>55,749</b>
<b>2013 Total Requested Budget Authority</b>	<b>273</b>	<b>273</b>	<b>55,749</b>
Total Change 2012 to 2013	-	-	151

The United States Secret Service requests 273 positions, 273 FTE and \$55.7 million in FY 2013 for the Protection of persons and facilities PPA.

- Increase of \$151 thousand for 2013 pay raise

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Since 1971, the James J. Rowley Training Center (RTC) has served as the primary training academy for the Secret Service. RTC is an accredited academic institution, meeting the standards established by the Federal Law Enforcement Training Accreditation (FLETA) Board. Further, its Instructional Development Program, Special Agent Basic Training Course and Uniformed Division Officer Basic Training Course are also fully accredited by FLETA. Both the academy and these programs continue to meet reaccreditation standards.

The 493-acre facility is comprised of over 30 buildings featuring multiple classrooms, firearms ranges, physical fitness facilities, tactical villages, and a protective operations driving pad. This infrastructure provides a high-quality and dynamic training environment to new recruits and current employees. Additionally, RTC facilities are utilized to provide federal, state, and local law enforcement partners with collaborative training related to the Secret Service missions.

The core curriculum provided by RTC instructors is principally designed for newly hired special agents, Uniformed Division officers, special officers and physical security specialists. These courses include training in investigative and protective methodologies, cyber crimes, firearms marksmanship,

control tactics, emergency vehicle operation, emergency medicine and physical fitness, financial crimes detection, physical/site/event protection and water survival training. As Secret Service employees progress through their career, RTC provides specialized/advanced training in order to continue to meet the emerging needs of the agency as it relates to the protective and investigative missions. This “in-service” curriculum consists of, but is not limited to, comprehensive training in specialized operational and protective tactics or intelligence, financial crime, cyber-based investigations, and employee and managerial development.

RTC provides recurring Presidential and Vice Presidential protective detail training to ensure operational readiness of special agents and officers assigned. The specialized training includes protective methods to mitigate emerging tactics and trends used by adversaries, and simulated protective detail operations.

From FY 2008 to FY 2010, RTC personnel conducted 24 Special Agent Training Courses (totaling 607 Special Agent trainees), 28 Uniformed Division Training Courses (totaling 510 Officer trainees), and 1,212 specialized skills courses (totaling 37,420 personnel). Further, since 2005, RTC has provided 107 briefings to international law enforcement counterparts as a means of enhancing and improving partnerships.

The above requested amount provides funding for RTC. This funding specifically permits the Secret Service to provide essential operations and training curricula. This program is aligned with the missions and goals set forth by the 2010 DHS QHSR Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.2, Protect Critical Infrastructure and Goal 1.3.4, Protecting Government Leaders, Facilities, and Special Events; Mission 4: Safeguarding and Securing Cyber Space, Goal 4.1.3, Prevent Cyber Crime and Other Malicious Uses of Cyber Space; and Mission 6: Maturing and Strengthening the Homeland Security Enterprise, Goal 6.3.1, Prevent the Exploitation of Persons.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*
- *Percent of National Security Events that were successfully completed.*
- *Financial crimes loss prevented through criminal investigation (in billions).*
- *Financial crimes loss prevented by the Secret Service Electronic Crimes Task Forces (in millions).*
- *Percent of currency identified as counterfeit.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Information Integration & Technology Transformation**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Information Integration & Technology Transformation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>10</b>	<b>10</b>	<b>43,843</b>
2013 Adjustments-to-Base	-	-	(42,706)
<b>2013 Current Services</b>	<b>10</b>	<b>10</b>	<b>1,137</b>
<b>2013 Total Requested Budget Authority</b>	<b>10</b>	<b>10</b>	<b>1,137</b>
Total Change 2012 to 2013	-	-	(42,706)

The United States Secret Service requests 10 positions, 10 FTE and \$1.1 million in FY 2013 for the Information Integration and Technology Transformation PPA.

- Increase of \$4 thousand for 2013 pay raise
- Increase of \$114 thousand for 3<sup>rd</sup> year Information Integration and Technology Transformation positions
- Non-pay transfer of \$42.824 million to the Acquisition, Construction, and Improvements account

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Secret Service relies heavily on Information Technology (IT) infrastructure and communications systems to achieve its protective and investigative missions. Secret Service generated a classified Mission Needs Statement (MNS) for Information Integration and Transformation (IIT) that identified existing deficiencies and disparities in the Secret Service IT infrastructure, database architecture, cyber security, communications, cross domain application multi-level security, access control, investigative technologies, information assurance, and resource management capabilities. Requested funding will enable the Secret Service's IT networks, data systems, applications, and system security to fully support the evolving technological advancements linked to present operational requirements. The dated infrastructure lacks the ability to support newer technologies (e.g., internet protocol, IPv6), share common DHS enterprise services, or migrate to approved data centers. This modernization will be implemented by means of an extensive re-architecting of the current infrastructure and the careful selection and integration of interoperable capabilities to support critical mission needs. The

Information Integration and Technology Transformation program consists of Enabling, Communications, and Control Capabilities, as well as cross-cutting Mission Support Capabilities. This funding is for positions required to support Information Integration and Technology Transformation.

This program aligns with the missions and goals set forth by the 2010 DHS QHSR in Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.2, Protect Critical Infrastructure and Goal 1.3.4, Protect government leaders, facilities and special events and Mission 4: Safeguarding and Securing Cyberspace, Goal 4.1.3 Prevent Cybercrime and Malicious use of Cyberspace.

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Secret Service  
Operating Expenses  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** National Special Security Events  
PPA: National Special Security Event Fund  
Program Increase: Positions 0, FTE 0, Dollars \$3,500

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	1,000
Program Increase							-	-	3,500
<b>Total Request</b>	-	-	<b>5,846</b>	-	-	<b>19,307</b>	-	-	<b>4,500</b>

### Description of Item

This request provides funding to cover expenses related to the planning and implementation of comprehensive operational security plans for National Special Security Events (NSSE). These costs assume purchases and expenses for: communications and utilities, transportation of things/equipment, travel and transportation of persons, other personnel compensation, rental costs, and other services and equipment. Some of these expenses translate to NSSE activities, such as the build-out of the Multi-Agency Communications Center (MACC), credentialing, coordinating center, and dedicated video assets.

### Justification

Designation of a NSSE may not necessarily correspond within the traditional timelines or boundaries of the federal budget process. With the exception of the annual State of the Union Address and quadrennial presidential inaugurations/nominating conventions, the Secret Service is unable to fully plan for, in any given year, what special events will receive NSSE designation. Furthermore, the costs related to the transportation of vital assets needed at NSSEs may be increased due to event's geographical location, the availability of critical commercial infrastructures, as well as the fact that the Secret Service is unable use U.S. military resources as provided by the Presidential Assistance Act (P.L. 94-524).

NSSEs represent some of the most complex and logistically complicated protective operations undertaken by the Secret Service. Each requires federal support and coordination with numerous law enforcement and public safety jurisdictions. For instance, during the two-day 2010 Nuclear Security Summit in Washington, D.C., the Secret Service provided protective details and security measures for the President, Vice President, and 37 heads of state, issued 23,000 security credentials, and screened by magnetometers approximately 28,500 venue attendees.

Due to limited time available for planning of an NSSE after its designation, the Secret Service has required reprogramming requests to acquire funding. For example, in FY 2009, a reprogramming of \$4.81 million was necessary to cover the costs associated with the two-day G-20 Summit in Pittsburgh, PA, and in FY 2010, a reprogramming of \$4.18 million was necessary to cover costs associated with the two-day Nuclear Security Summit in Washington, D.C. Additionally, in FY 2011, a reprogramming of \$6.05 million was necessary to cover the planning and start-up costs associated with the Asia-Pacific Economic Cooperation in Honolulu, HI. With the requested increased funding level, the Secret Service will be able to utilize the appropriated NSSE funds in order to cover planning and implementation estimated costs associated with designated events that occur without significant delay.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

NSSE resources directly support the DHS strategic goal to protect people, places, and critical infrastructure, including events of symbolic importance to American citizens. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever these specially designated events take place.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Percent of National Security Events that were successfully completed.*
- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*

An increase in the NSSE PPA funding (based on anticipated yearly averages), will reduce the possibility of the Secret Service having to seek a reprogramming of funds, which often impact the activities of other mission critical programs.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Cyber Security Presidential Protection Measures  
PPA: Protection of persons and facilities  
Program Increase: Positions 0, FTE 0, Dollars \$13,300

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	13,300
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>13,300</b>

**Description of Item**

This request provides funding for Cyber Security Presidential Protection Measures, which would enable the Secret Service to utilize its cybercrime investigative skills in its protective mission. Specifically, funding will allow the Secret Service to leverage its investigative expertise and capabilities to potentially mitigate and investigate the increasing number of network-based threats directed towards our protectees. This program also directly supports the Comprehensive National Cybersecurity Initiative, which calls for the assessment and mitigation of cybersecurity threats and the protection of critical systems governing energy delivery, information technology, and other process control systems,.

**Justification**

The following programs are part of the Protection Related Cyber Security activities necessary to meet existing and emerging threats:

- **Transition Costs for Cyber-detection and Intrusion Prevention Technologies: \$1,010,604**  
Several years ago, the Service initiated a program to analyze and monitor Internet or network system threats directed towards venues at National Special Security Events (NSSEs) as well as venues visited by the President and Vice President. The initiative has been very successful and is continuing to evolve. Requested funding would allow the Secret Service to leverage the capabilities of National Protection and Programs Directorate’s (NPPD) cyber-detection and

intrusion prevention technology and cover costs associated with adapting this technology for Secret Service use. Note, “Kaleidoscope” refers to the U.S. Secret Service application and leverage of existing NPPD technologies and capabilities.

Deploying these capabilities would provide a better threat picture than what currently exists by increasing situational awareness of the cyber threats directed toward the President or other Secret Service protectees. Deployment of this technology would also enhance the threat picture available to NPPD as it would provide them access to data from private networks as opposed to just the .gov domain. In order for the Secret Service to do this, NPPD’s cyber-detection and intrusion prevention technology requires modification to increase mobility and speed of deployment. This funding request would allow the Service to work with NPPD to develop the mobile capabilities for this technology.

- **Monitor, Decode and Tag Data: \$886,500**

Once a threat is identified through KALEIDOSCOPE technology, the Internet Protocol (IP) traffic would be monitored and IP intercepts would be used to reconstruct the network data. Investigators would review and analyze the data to determine the intentions of the attacker. The requested funding would allow the Secret Service to expand the amount of data it receives and analyzes.

- **Clustered Computer Analysis Platform (CCAP): \$2,078,843**

To increase the speed of the forensic analysis, a necessity in protective movements, the Secret Service requires a Clustered Computer Analysis Platform (CCAP). The Service would use the requested funding to establish six CCAP nodes throughout its Electronic Crimes Task Forces (ECTFs) which would allow multiple digital forensic examiners physically located across the country to analyze the data simultaneously.

- **Mobile Wireless Tracking: \$2,813,751**

To locate threat actors quickly, the Secret Service uses mobile wireless tracking technology to locate individuals of interest through their cellular telephones and mobile broadband devices. Man portable versions of this technology could be deployed to support the monitoring of the area immediately surrounding a protectee to alert the protective detail when a known threat enters a designated perimeter. This capability is different than the current capabilities the Secret Service has which are mobile (vehicular) but not man portable. In densely populated areas, this technology would serve as a force multiplier because it would allow agents to follow a signal into buildings and floors. In addition to known threats, mobile wireless tracking technology could be used to survey and compare the digital environment each time a protectee changes location. Cross referencing from one location to the next would provide the Secret Service the added capability of identifying previously unknown threats based upon repetitive patterns of movement.

The emergence of new technologies, including 4G Long Term Evolution (LTE), pose a serious threat to the ability of the Secret Service to continue leveraging mobile wireless tracking technology in support of the mission. As the pervasive technology deployed by mobile service providers begins to transition, it is essential to upgrade tracking equipment to maintain compatibility. The requested funding provides the equipment needed to provide the man portable capabilities for existing Wireless Tracking Teams.



- **Threat Management: \$1,773,000**

This funding request would mitigate current problems posed by multiple, disparate databases by consolidating several different databases the Secret Service uses under both its protective and investigative function.

- **Electronic Crimes Special Agent Program (ECSAP) – Network Intrusion Training: \$3,638,196**

To leverage the capabilities identified above, Secret Service personnel would require additional ECSAP Network Intrusion Responder (ECSAP-NI) (Level II) training. This specialized training and equipment provides special agents the ability to respond to and investigate network intrusions. The Level II- trained agents would be able to identify critical artifacts to allow effective investigation of data breaches, malicious hacking, unauthorized access, and various other related electronic crimes. These same agents would be used in furtherance of the Critical Systems Protection Mission. The requested funding provides training for 128 special agents.

- **Cyber Intelligence Section (CIS) Protection Activities: \$655,820**

The Secret Service’s Cyber Intelligence Section (CIS) has developed the capability to aggregate and report information obtained from various sources to support Secret Service protective intelligence investigations. CIS monitors developing trends in cyber-based protective threats to enhance the Service’s ability to prevent and mitigate attacks against our protectees. As cyber-based threats against our protectees have greatly increased, the Service requires an enhanced intelligence capability in this area. The requested funding would provide these capabilities within our intelligence operations by leveraging specialized contractor support.

- **Computer Emergency Response Team-Software Engineering Institute Liaison Program (CLP): \$443,250**

As will be detailed in a following section, the Secret Service has maintained a long-term relationship with the Computer Emergency Response Team at Carnegie-Mellon. The requested funds would support the Service’s access to a Virtual Training Environment (VTE), which is a web-based application that provides distance learning in an anytime, anywhere setting. Program content consists of a wide variety of technology-focused courses, presentations, demonstrations, tutorials, and hands-on ‘virtual’ labs. Access to this system would provide the Service with a cost efficient way of providing training to protective intelligence personnel in the field regarding emerging trends and tactics of cyber-based threats.

In addition, the funding would provide the Secret Service with access to CERT Software Engineering Institute’s (SEI) Read the Web Project, which uses machine learning to seek out unstructured data associated with sets of words or phrases and derive structured relationships from all publicly available data on the Internet. Access to this technology will allow the Secret Service to identify if multiple threats are coming from the same threat actor. With such knowledge, the Service will be better positioned to efficiently deploy its protective intelligence investigative resources so that multiple investigations are not being conducted on the same threat actor.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

Fully funding the “Cyber Security Presidential Counter Measures” initiative allows the Secret Service to investigate the high percentage increase in the number of internet based threats that our protectees receive and to conduct critical system protection advances on venues visited by our protectees. This funding allows staff to develop and maintain expertise in protection and investigative capabilities through training and equipment that is constantly evolving. Ultimately, funding this initiative allows for the deployment of additional tools/capabilities that will provide a better threat picture than what currently exists by increasing situational awareness of the cyber threats directed toward the President or other Secret Service protectees.

This program directly supports QHSR Mission Objective 1.3.4 “protect government leaders, facilities, and special events” and QHSR Mission Area 4 “safeguarding and securing cyberspace.” Funding allows the Secret Service to obtain training and technology needed to mitigate internet based threats to our protectees. Operational decisions would be made and actions would then be executed to mitigate the threat and to ensure the safety of The President and other protectees. Specifically, this initiative supports the strategic performance measure: *Percent of total U.S. Secret Service protection activities that are incident-free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.* Fully funding this program will ensure the success of the protective mission by allowing the Secret Service to fully analyze and mitigate incoming internet threats directed toward the President or other Secret Service protectees.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** Integrated Command and Control Systems  
PPA: Protection of persons and facilities  
Program Increase: Positions 0, FTE 0, Dollars \$12,100

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	12,100
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>12,100</b>

**Description of Item**

This request provides funding to modernize the Secret Service’s communications and information sharing capabilities critical to supporting its protective and investigative missions while enabling interoperability with operational partners that complies with federal standards. The Integrated Command and Control Systems (ICCS) program will provide new and enhanced capabilities for sharing classified and law enforcement sensitive information critical to informed decision making during protective and investigative activities. The ICCS program provides new digital equipment and systems to leverage modern communication technologies using Internet Protocol (IP) network environments. The ICCS program will transition the Secret Service from technologically obsolete analog communications systems to modern digital IP enabled systems. This transition provides the Secret Service with increased communications speed and reliability by reducing its dependence on external commercial analog infrastructures and circuits. The Secret Service would be able to leverage automated processes to record and store operational mission communications. With the initial funding, the ICCS program will replace “stand-alone” systems that support wireless MESH technologies, radio IP solutions and command and control video enhancements (including secure video) with modern IP communications technologies that enable the integration and interoperability of radio, video and wireless technologies into a common operating platform.

**Justification**

The success of the Secret Service mission relies not only on the advanced planning and reaction of its personnel faced with an emergent threat, but on an entire command and control structure that provides additional critical resources and support elements. The ICCS program is intended to significantly

improve the timeliness and reliability of information provided to the command and control entities of the Secret Service, while reducing its susceptibility of illicit compromise. The ICCS program supports a service wide communication transition to Internet Protocol (IP) encrypted voice, radio, video, wireless and classified systems. This transition provides the Secret Service with increased reliability and reduces reliance on external telecommunications infrastructure through the use of the modernized network. The new ICCS systems will meet federal encryption standards set forth by the National Security Agency (NSA) and National Institute of Standards and Technology (NIST) and will enable interoperability and collaboration capabilities identified by the Department of Homeland Security (DHS) and other federal requirements.

The goals of the ICCS program are realized through the use of the following state-of-the-art communication technologies:

- **Wide Area Voice Environment (WVE)/Radio over Internet Protocol (RoIP): \$6,000,000**  
Wide Area Voice Environment (WVE)/Radio over Internet Protocol (RoIP) upgrades will allow real-time monitoring of protective and investigative operations anywhere in the world to be accessed via the Secret Service network, to include field offices and protective details. WVE provides secure IP radio console systems with digital audio, voice recording, instant voice replay, real time activity logs, and access to multiple channel monitoring. WVE enables operational efficiencies through the elimination of commercial services supporting dated analog voice circuits and facilitation of conversion to RoIP that enables the use of existing network encrypted circuits. RoIP will provide a new capability to provide tactical radio communications from protective details; protective intelligence teams and investigative operations back to command and control centers increasing overall awareness of the actual voice communications between agents and officers throughout the world. Currently, the Secret Service radio communications are only available to localized operations and not accessible to other command and control operation centers that require awareness of these operations, including the Washington, D.C. based Joint Operations Center.
- **Wireless Mesh Technology (WMT) : \$4,800,000**  
Wireless Mesh Technology (WMT) will provide wireless and encrypted broadband communications of voice and data. WMT allows for the wireless transmission of live video camera feeds, information from a wide range of alarms and sensors, audio communication via phone or radio, and personnel tracking. Utilization of WMT allows for potential cost avoidance by eliminating the current need to run extensive physical cabling to accomplish the same tasks. Deployment of WMT is expected to result in operational efficiencies through the reduction of commercial services and supplies necessary to support protective operations. An example of this savings can be found by looking at the United Nations General Assembly (UNGA) which requires the installation of approximately eight miles of cabling every year to support temporary communication for Secret Service personnel. WMT will allow the Secret Service to rapidly deploy a portable government owned secure, modern framework for protective operations. WMT provides faster access to real-time situational awareness that increases Secret Service capabilities to respond and thwart threats to a protective site or operation.

- **Command and Control Video Enhancements (CCVE): \$1,300,000**

Command and Control Video Enhancements (CCVE) enables mobile video conferencing over the new Secret Service network. CCVE provides encrypted (FIPS 140-2) video teleconferencing capabilities between operational personnel and supervisors at protective divisions and field offices. Specifically, CCVE enables the Secret Service to deploy encrypted real-time videoconferencing for Classified and Sensitive but Unclassified (SBU) collaboration. The CCVE will enhance information sharing and situational awareness during mission critical operations. The CCVE provides a vital tool to ensure security information relating to protective operations is rapidly communicated, acknowledged, and updated to ensure key situational awareness information is shared with operational personnel. Threats to protectees and protective sites can be communicated with much more detail and granularity to include video, pictures, audio, alarms and sensor readings, increasing the overall awareness to aid in the comprehensive analysis of the actual risk.

The Secret Service currently establishes a Command Post at temporary Presidential venues to pass and receive information using telephone and radio communications. The Command Post is the “command and control” communications link between the protective details and operational personnel on-site. While the White House Communications Agency (WHCA) provides secure communications for the Presidential and Vice Presidential protective details, their focused support does not provide for all the diverse mission requirements of the Secret Service to include: former Presidents, visiting heads of state, Presidential candidate nominees, other U.S. Government officials authorized to receive protection, investigative surveillances, sensitive criminal investigations, protective intelligence investigations, NSSE’s, and special protective operations that require real-time command and control capability.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

Funding these activities will allow the Secret Service to bring the agency up-to-date with evolutionary technological advances in tactical communications that meet Federal standards and provide interoperability and collaboration capabilities with our operational partners that have already modernized.

This request will allow the Secret Service to share real-time secure information with operational personnel in order to enhance operational effectiveness. It is imperative that the Secret Service utilize the most secure and reliable command and control framework possible to support its critical protective mission. This ICCS funding request represents a critical effort to enhance our command and control capabilities while achieving operational and fiscal efficiencies through the replacement of obsolete communications technologies and the implementation of robust technologies.

By funding ICCS, the Secret Service will be able to continue to modernize its tactical communication system. The Secret Service has a mobile communications infrastructure that urgently needs upgrading in order to support current protective mission requirements. Specifically, this would address the integration of disparate voice, radio, data, wireless, video and classified systems into a common operating platform.

The IP technologies within the ICCS program will reduce costs associated with commercial communications services. The transition from analog circuits to RoIP enabled technologies is projected to reduce Secret Service's dependence on temporary rental of commercial telephone circuits, and associated costs, by at least 50%. The WMT capability will enhance communications security while reducing the cost of labor and cabling services needed to support National Special Security Events (NSSEs), such as the UNGA, by 15%.

This program directly supports the 2010 DHS QHSR Mission 1: Preventing Terrorism and Enhancing Security, Goal 1.3.4, Protecting government leaders, facilities, and special events. The funding specifically permits the Secret Service to provide or acquire necessary technology for its protective mission.

Further, funding this activity supports the Secret Service strategic performance measures of:

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*
- *Percent of National Security Events that were successfully completed.*

By funding this program, the Secret Service will have the resources necessary to accomplish the aforementioned performance goals..

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Reduce forensic support for missing and exploited children  
PPA: Forensic support and grants to NCMEC  
Program Decrease: Positions (8), FTE (8), Dollars \$(7,518)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							8	8	7,518
Program Decrease							(8)	(8)	(7,518)
<b>Total Request</b>	<b>20</b>	<b>20</b>	<b>8,103</b>	<b>20</b>	<b>20</b>	<b>8,366</b>	<b>-</b>	<b>-</b>	<b>-</b>

**Description of Item**

A direct funding request, to include grant funds, specific to the Secret Services' activities in relation to the forensic support for missing and exploited children PPA is being reduced in order to direct resources to programs in immediate support of the Secret Service missions while maintaining forensic services support to investigations involving missing and exploited children.

**Justification**

In an effort to meet overall budgetary constraints and to direct limited resources to principle priorities of the Secret Service, funding for this PPA has been eliminated.

The Secret Service will continue to provide forensic services support including polygraph examinations, latent finger print examinations, handwriting analysis comparisons, and video enhancements, based upon resource availability to Federal, State and local law enforcement agencies conducting investigations involving missing and exploited children. However, in an effort to meet overall budgetary constraints and to direct limited resources to core priorities of the Secret Service, the Budget does not continue Secret Service funding for the \$6 million grant to the National Center for Missing and Exploited Children. Instead, NCMEC grant funding will be consolidated and continued within the Department of Justice's Office of Justice Programs (OJP). The remaining \$1.5 million reduction will be realized by achieving efficiencies within the overall Forensic Services Division (FSD) budget.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The Secret Service will continue to provide forensic and investigative support to priority Federal, State, and local investigations involving missing and exploited children. NCMEC grant funding will be continued in DOJ/OJP but is not proposed in the DHS submission.



## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
United States Secret Service  
Justification of Proposed Changes in Operating Expenses  
Appropriation Language**

For necessary expenses of the United States Secret Service, including purchase of not to exceed 652 vehicles for police-type use for replacement only; hire of passenger motor vehicles; purchase of motorcycles made in the United States; hire of aircraft; services of expert witnesses at such rates as may be determined by the Director of the Secret Service; rental of buildings in the District of Columbia, and fencing, lighting, guard booths, and other facilities on private or other property not in Government ownership or control, as may be necessary to perform protective functions; payment of per diem or subsistence allowances to employees in cases in which a protective assignment on the actual day or days of the visit of a protectee requires an employee to work 16 hours per day or to remain overnight at a post of duty; conduct of and participation in firearms matches; presentation of awards; travel of United States Secret Service employees on protective missions without regard to the limitations on such expenditures in this or any other Act [if approval is obtained in advance from the Committees on Appropriations of the Senate and the House of Representatives]; research and development; grants to conduct behavioral research in support of protective research and operations; and payment in advance for commercial accommodations as may be necessary to perform protective functions; [\$1,661,237,000] \$1,544,113,000, of which not to exceed \$21,250 shall be for official reception and representation expenses; of which not to exceed \$100,000 shall be to provide technical assistance and equipment to foreign law enforcement organizations in counterfeit investigations[; of which \$2,366,000 shall be for forensic and related support of investigations of missing and exploited children; and of which \$6,000,000 shall be for a grant for activities related to investigations of missing and exploited children and shall remain available until September 30, 2013]: Provided, That [up to] \$18,000,000 for protective travel shall remain available until September 30, [2013] 2014: Provided further, That [up to] [\$19,307,000] \$4,500,000 for National Special Security Events shall remain available until September 30, [2013] 2014: Provided further, That the United States Secret Service is authorized to obligate funds in anticipation of reimbursements from Federal agencies and entities, as defined in section 105 of title 5, United States Code, for personnel receiving training sponsored by the James J. Rowley Training Center, except that total obligations at the end of the fiscal year shall not exceed total budgetary resources available under this heading at the end of the fiscal year: Provided further, That none of the funds made available under this heading shall be available to compensate any employee for overtime in an annual amount in excess of \$35,000, except that the Secretary of Homeland Security, or the designee of the Secretary, may waive that amount as necessary for national security purposes: Provided further, That none of the funds made available to the United States Secret Service by this Act or by previous appropriations Acts may be made available for the protection of the head of a Federal agency other than the Secretary of Homeland Security: Provided further, That the Director of the United States Secret Service may enter into an agreement to provide such protection on a fully reimbursable basis: [Provided further, That of the total amount made available under this heading, \$43,843,000, to remain available until September 30, 2014, is for information integration and

technology transformation: Provided further, That \$20,000,000 made available in the preceding proviso shall not be obligated to purchase or install information technology equipment until the Department of Homeland Security Chief Information Officer submits a report to the Committees on Appropriations of the Senate and the House of Representatives certifying that all plans for integration and transformation are consistent with Department of Homeland Security data center migration and enterprise architecture requirements:] Provided further, That none of the funds made available to the United States Secret Service by this Act or by previous appropriations Acts may be obligated for the purpose of opening a new permanent domestic or overseas office or location unless the Committees on Appropriations of the Senate and the House of Representatives are notified 15 days in advance of such obligation.(Department of Homeland Security Appropriations Act, 2012.)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Secret Service  
Operating Expenses  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>6,905</b>	<b>6,905</b>	<b>1,577,913</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>7,092</b>	<b>7,055</b>	<b>1,661,237</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer IIT to ACIRE	-	-	(42,824)
<b>Total, Transfers</b>	-	-	<b>(42,824)</b>
<b>Increases</b>	-	-	-
2013 pay increase	-	-	4,058
70 OMS Positions	-	35	2,686
Campaign labor shift	105	105	14,308
ECSAP/ECTF	(7)	(7)	-
HQ Adjustment	7	7	-
IIT Staffing 3rd Year	-	-	114
Presidential Primary Limo Funding	-	-	900
Reduction of FTE HQ PPA	(20)	(20)	-
Acquisition Workforce	-	1	284
White House Mail Equipment	-	-	1,377
<b>Total, Increases</b>	<b>85</b>	<b>121</b>	<b>23,727</b>
<b>Decreases</b>	-	-	-
APEC	-	-	(7,258)
Campaign Labor Shift	(105)	(105)	(14,308)
Campaign non recur	-	-	(41,194)
DHS strategic sourcing initiative	-	-	(3,431)
G-8 Summit	-	-	(5,686)
HQ administrative efficiency DHS-wide	-	-	(145)
IT infrastructure	-	-	(2,400)
International Field Office Savings	(3)	(2)	(2,000)
NATO	-	-	(5,363)
OFPP directed purchasing savings	-	-	(3,488)
OMS Adjustment	-	-	(5,886)
Overtime	-	-	(5,510)
Permanent Change of Station costs	-	-	(4,332)
TDY and Travel	-	-	(14,666)
Vehicle fleet inventory	-	-	(963)
Vehicle fleet replacement on 8 year cycle	-	-	(2,779)
<b>Total, Decreases</b>	<b>(108)</b>	<b>(107)</b>	<b>(119,409)</b>
<b>Total, Adjustments-to-Base</b>	<b>(23)</b>	<b>14</b>	<b>(138,506)</b>
<b>FY 2013 Current Services</b>	<b>7,069</b>	<b>7,069</b>	<b>1,522,731</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Cyber Security Presidential Protection Measures	-	-	13,300
Integrated Command and Control Systems	-	-	12,100
National Special Security Events	-	-	3,500
<b>Total, Increases</b>	-	-	<b>28,900</b>
<b>Decreases</b>	-	-	-
Reduce Forensic Support for missing and exploited children	(8)	(8)	(7,518)
<b>Total, Decreases</b>	<b>(8)</b>	<b>(8)</b>	<b>(7,518)</b>
<b>Total, Program Changes</b>	<b>(8)</b>	<b>(8)</b>	<b>21,382</b>

<b>FY 2013 Requested Budget Authority</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(31)</b>	<b>6</b>	<b>(117,124)</b>

FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.1 million, pursuant to P.L. 112-74.

## C. Summary of Requirements

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Summary of Requirements**  
(Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	6,905	6,905	1,577,913
<b>FY 2012 Enacted Budget Authority</b>	7,092	7,055	1,661,237
<b>Adjustments-to-Base</b>	-	-	-
Transfers	-	-	(42,824)
Increases	85	121	23,727
Decreases	(108)	(107)	(119,409)
<b>Total, Adjustments-to-Base</b>	<b>(23)</b>	<b>14</b>	<b>(138,506)</b>
<b>FY 2013 Current Services</b>	<b>7,069</b>	<b>7,069</b>	<b>1,522,731</b>
<b>Program Changes</b>	-	-	-
Increases	-	-	28,900
Decreases	(8)	(8)	(7,518)
<b>Total, Program Changes</b>	<b>(8)</b>	<b>(8)</b>	<b>21,382</b>
<b>FY 2013 Requested Budget Authority</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(31)</b>	<b>6</b>	<b>(117,124)</b>

FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.1 million, pursuant to P.L. 112-74.

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Protection	4,634	4,599	1,051,829	(200)	(165)	(92,395)	-	-	28,900	4,434	4,434	988,334	(200)	(165)	(63,495)
Protection of persons and facilities	3,817	3,782	832,463	(95)	(60)	(20,217)	-	-	25,400	3,722	3,722	837,646	(95)	(60)	5,183
National Special Security Event Fund	-	-	19,307	-	-	(18,307)	-	-	3,500	-	-	4,500	-	-	(14,807)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Presidential candidate nominee protection	275	275	113,462	(105)	(105)	(55,502)	-	-	-	170	170	57,960	(105)	(105)	(55,502)
White House mail screening	7	7	18,472	-	-	1,383	-	-	-	7	7	19,855	-	-	1,383
Protective intelligence activities	535	535	68,125	-	-	248	-	-	-	535	535	68,373	-	-	248
Domestic field operations	1,457	1,457	223,991	69	69	14,562	-	-	-	1,526	1,526	238,553	69	69	14,562
International field office administration and operations	77	76	32,971	(3)	(2)	(1,955)	-	-	-	74	74	31,016	(3)	(2)	(1,955)
Electronic crimes special agent program and electronic crimes task forces	290	290	53,051	3	3	1,604	-	-	-	293	293	54,655	3	3	1,604
Forensic support and grants to NCMEC	20	20	8,366	(12)	(12)	(848)	(8)	(8)	(7,518)	-	-	-	(20)	(20)	(8,366)
Headquarters, management and administration	331	330	191,588	120	121	(16,919)	-	-	-	451	451	174,669	120	121	(16,919)
Rowley training center	273	273	55,598	-	-	151	-	-	-	273	273	55,749	-	-	151
Information Integration & Technology Transformation	10	10	43,843	-	-	(42,706)	-	-	-	10	10	1,137	-	-	(42,706)
<b>Total</b>	<b>7,092</b>	<b>7,055</b>	<b>1,661,237</b>	<b>(23)</b>	<b>14</b>	<b>(138,506)</b>	<b>(8)</b>	<b>(8)</b>	<b>21,382</b>	<b>7,061</b>	<b>7,061</b>	<b>1,544,113</b>	<b>(31)</b>	<b>6</b>	<b>(117,124)</b>

FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.1 million, pursuant to P.L. 112-74.

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
U.S. Secret Service  
Operating Expenses  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Department of Defense	-	-	-	-	-	2,300	-	-	-	-	-	(2,300)
Department of Defense Army	-	-	-	-	-	300	-	-	300	-	-	-
Department of Defense, Air Force	-	-	-	-	-	200	-	-	200	-	-	-
Department of Defense, Navy	-	-	56	-	-	60	-	-	60	-	-	-
Department of Education	-	-	1	-	-	-	-	-	-	-	-	-
Department of Homeland Security	-	-	3,408	-	-	4,801	-	-	4,801	-	-	-
Department of Justice	-	-	133	-	-	-	-	-	-	-	-	-
Department of State	-	-	297	-	-	384	-	-	384	-	-	-
Department of Treasury	6	6	3,557	6	6	4,000	6	6	4,000	-	-	-
Department of Treasury, EOAF	-	-	17,820	-	-	10,000	-	-	10,000	-	-	-
VARIOUS	-	-	-	-	-	2	-	-	2	-	-	-
<b>Total Budgetary Resources</b>	<b>6</b>	<b>6</b>	<b>25,272</b>	<b>6</b>	<b>6</b>	<b>22,047</b>	<b>6</b>	<b>6</b>	<b>19,747</b>	-	-	<b>(2,300)</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Domestic field operations	-	-	18,740	-	-	10,737	-	-	10,737	-	-	-
Electronic crimes special agent program and electronic crimes task forces	-	-	2,621	-	-	4,000	-	-	4,000	-	-	-
International field office administration, operations and training	-	-	297	-	-	384	-	-	384	-	-	-
Protection of persons and facilities	6	6	3,613	6	6	4,560	6	6	4,560	-	-	-
Rowley Training Center	-	-	1	-	-	2,366	-	-	66	-	-	(2,300)
<b>Total Obligations</b>	<b>6</b>	<b>6</b>	<b>25,272</b>	<b>6</b>	<b>6</b>	<b>22,047</b>	<b>6</b>	<b>6</b>	<b>19,747</b>	-	-	<b>(2,300)</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	609,330	620,610	644,091	23,481
11.3 Other than full-time permanent	3,406	3,737	3,755	18
11.5 Other personnel compensation	167,869	195,784	166,733	(29,051)
12.1 Benefits	315,254	293,827	290,504	(3,323)
<b>Total, Personnel and Other Compensation Benefits</b>	<b>1,095,859</b>	<b>1,113,958</b>	<b>1,105,083</b>	<b>(8,875)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	83,229	141,352	102,957	(38,395)
22.0 Transportation of things	5,841	9,413	7,722	(1,691)
23.1 GSA rent	87,953	80,900	80,917	17
23.2 Other rent	4,169	1,643	1,746	103
23.3 Communications, utilities, and misc. charges	27,120	34,979	33,472	(1,507)
24.0 Printing	532	772	741	(31)
25.2 Other services	141,405	168,627	136,811	(31,816)
26.0 Supplies and materials	21,332	22,262	20,922	(1,340)
31.0 Equipment	92,303	69,941	42,641	(27,300)
32.0 Land & structures	10,957	11,290	11,001	(289)
41.0 Grants/Subsidies/Contributions	5,988	6,000	-	(6,000)
42.0 Insurance Claims and Indemnity	1,225	100	100	-
<b>Total, Other Object Classes</b>	<b>482,054</b>	<b>547,279</b>	<b>439,030</b>	<b>(108,249)</b>
<b>Total, Direct Obligations</b>	<b>1,577,913</b>	<b>1,661,237</b>	<b>1,544,113</b>	<b>(117,124)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,577,913</b>	<b>1,661,237</b>	<b>1,544,113</b>	<b>(117,124)</b>
<b>Full Time Equivalents</b>	<b>6,905</b>	<b>7,055</b>	<b>7,061</b>	<b>6</b>



## F. Permanent Positions by Grade

**Department of Homeland Security  
U.S. Secret Service  
Operating Expenses  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	51	51	51	-
GS-15	220	222	220	(2)
GS-14	632	631	623	(8)
GS-13	2,831	2,851	2,840	(11)
GS-12	473	483	452	(31)
GS-11	377	414	410	(4)
GS-10	32	31	49	18
GS-9	450	445	448	3
GS-8	183	176	180	4
GS-7	152	149	155	6
GS-6	43	47	50	3
GS-5	57	64	57	(7)
GS-4	52	69	71	2
GS-3	28	24	20	(4)
GS-2	23	11	11	-
Other Graded Positions	1,420	1,424	1,424	-
<b>Total Permanent Positions</b>	<b>7,024</b>	<b>7,092</b>	<b>7,061</b>	<b>(31)</b>
Unfilled Positions EOY	119	-	-	-
Total Permanent Employment EOY	6,905	7,092	7,061	(31)
Headquarters	4,141	4,322	4,302	(20)
U.S. Field	2,682	2,688	2,675	(13)
Foreign Field	82	82	84	2
<b>Total, Operating Expenses</b>	<b>6,905</b>	<b>7,092</b>	<b>7,061</b>	<b>(31)</b>
<b>Full Time Equivalents</b>	<b>6,905</b>	<b>7,055</b>	<b>7,061</b>	<b>6</b>
Average ES Salary	165,942	169,386	170,233	847
Average GS Salary	88,334	90,167	90,618	451
Average Grade	12	12	12	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Information Integration & Technology Transformation**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	802	888	86
11.5 Other personnel compensation	-	69	75	6
12.1 Benefits	-	148	174	26
<b>Total, Personnel and Compensation Benefits</b>	-	<b>1,019</b>	<b>1,137</b>	<b>118</b>
<b>Other Object Classes</b>	-	-	-	-
23.3 Communications, utilities, and misc. charges	-	20	-	(20)
25.2 Other services	-	29,804	-	(29,804)
31.0 Equipment	-	13,000	-	(13,000)
<b>Total, Other Object Classes</b>	-	<b>42,824</b>	-	<b>(42,824)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>43,843</b>	<b>1,137</b>	<b>(42,706)</b>
<b>Full Time Equivalents</b>	-	<b>10</b>	<b>10</b>	-

### Information Integration & Technology Transformation Mission Statement

Salaries and benefits includes funding to cover costs for information integration and technology transformation (10 FTE).

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	802	888	86
11.5 Other personnel compensation	-	69	75	6
12.1 Benefits	-	148	174	26
<b>Total, Salaries &amp; Benefits</b>	-	<b>1,019</b>	<b>1,137</b>	<b>118</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	0	\$20	0	-\$20

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	0	\$20	0	-\$20

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$29,804	0	-\$29,804

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	0	\$13,000	0	-\$13,000

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Rowley training center**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	24,770	23,308	23,392	84
11.3 Other than full-time permanent	159	179	180	1
11.5 Other personnel compensation	6,827	6,465	6,490	25
12.1 Benefits	11,157	10,627	10,668	41
<b>Total, Personnel and Compensation Benefits</b>	<b>42,913</b>	<b>40,579</b>	<b>40,730</b>	<b>151</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5,536	6,667	6,667	-
22.0 Transportation of things	87	54	54	-
23.1 GSA rent	-	1,214	1,214	-
23.2 Other rent	26	-	-	-
23.3 Communications, utilities, and misc. charges	1,064	882	882	-
24.0 Printing	-	2	2	-
25.2 Other services	5,796	3,940	3,940	-
26.0 Supplies and materials	472	1,314	1,314	-
31.0 Equipment	536	912	912	-
32.0 Land & structures	-	34	34	-
<b>Total, Other Object Classes</b>	<b>13,517</b>	<b>15,019</b>	<b>15,019</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>56,430</b>	<b>55,598</b>	<b>55,749</b>	<b>151</b>
<b>Full Time Equivalents</b>	<b>268</b>	<b>273</b>	<b>273</b>	<b>-</b>

**Rowley training center Mission Statement**

Rowley Training Center - Strengthen the agency's ability to develop and retain a highly specialized and dedicated workforce to fulfill mission-critical requirements. Rowley Training Center resources support the DHS strategic goal to protect critical infrastructure by ensuring the USSS workforce is continuously prepared to meet the challenges of the investigative and protective missions. The requested amount will ensure that the Service's most important resource - its employees - have the knowledge and skills and abilities to execute the investigative and protective missions. In a strategic context of threat, the Service must ensure that its workforce planning and development practices outpace the threat environment.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	24,770	23,308	23,392	84

	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>FY 2012 to FY 2013 Change</b>
11.1 Total FTE & personnel compensation	24,770	23,308	23,392	84
11.3 Other than full-time permanent	159	179	180	1
11.5 Other personnel compensation	6,827	6,465	6,490	25
12.1 Benefits	11,157	10,627	10,668	41
<b>Total, Salaries &amp; Benefits</b>	<b>42,913</b>	<b>40,579</b>	<b>40,730</b>	<b>151</b>

Salaries and benefits includes funding for 273 FTE.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Headquarters, management and administration**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	40,099	22,979	28,396	5,417
11.3 Other than full-time permanent	257	322	323	1
11.5 Other personnel compensation	11,053	11,250	11,320	70
12.1 Benefits	20,955	18,230	14,055	(4,175)
<b>Total, Personnel and Compensation Benefits</b>	<b>72,364</b>	<b>52,781</b>	<b>54,094</b>	<b>1,313</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	6,495	14,352	14,358	6
22.0 Transportation of things	3,221	5,423	5,423	-
23.1 GSA rent	34,788	8,669	8,683	14
23.2 Other rent	136	-	-	-
23.3 Communications, utilities, and misc. charges	9,312	11,913	11,916	3
24.0 Printing	531	563	563	-
25.2 Other services	76,496	69,579	57,505	(12,074)
26.0 Supplies and materials	1,700	5,665	5,667	2
31.0 Equipment	43,568	17,407	11,224	(6,183)
32.0 Land & structures	6,113	5,202	5,202	-
42.0 Insurance Claims and Indemnity	1,145	34	34	-
<b>Total, Other Object Classes</b>	<b>183,505</b>	<b>138,807</b>	<b>120,575</b>	<b>(18,232)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>255,869</b>	<b>191,588</b>	<b>174,669</b>	<b>(16,919)</b>
<b>Full Time Equivalents</b>	<b>330</b>	<b>330</b>	<b>451</b>	<b>121</b>

**Headquarters, management and administration Mission Statement**

Headquarters, Management and Administration - Support and sustain operational success through progressive planning and performance in the areas of science and technology, organizational effectiveness, professional responsibility, stewardship of resources, and communication. Headquarters, management and administration resources support the DHS strategic goal to protect critical infrastructure by enhancing the Service's administrative, professional, and technical infrastructure as well as the management systems and processes. In a strategic context of heightened threat, the Service must ensure that its business processes promote and strengthen the investigative and protective missions.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change

11.1 Total FTE & personnel compensation	40,099	22,979	28,396	5,417
11.3 Other than full-time permanent	257	322	323	1
11.5 Other personnel compensation	11,053	11,250	11,320	70
12.1 Benefits	20,955	18,230	14,055	(4,175)
<b>Total, Salaries &amp; Benefits</b>	<b>72,364</b>	<b>52,781</b>	<b>54,094</b>	<b>1,313</b>

Salaries and benefits includes funding for 471 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$6,495</b>	<b>\$14,352</b>	<b>\$14,358</b>	<b>\$6</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$34,788</b>	<b>\$8,669</b>	<b>\$8,683</b>	<b>\$14</b>

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$9,312</b>	<b>\$11,913</b>	<b>\$11,916</b>	<b>\$3</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$76,496</b>	<b>\$69,579</b>	<b>\$57,505</b>	<b>-\$12,074</b>

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$1,700</b>	<b>\$5,665</b>	<b>\$5,667</b>	<b>\$2</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$43,568</b>	<b>\$17,407</b>	<b>\$11,224</b>	<b>-\$6,183</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.



**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Forensic support and grants to NCMEC**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,638	1,011	-	(1,011)
11.3 Other than full-time permanent	11	8	-	(8)
11.5 Other personnel compensation	451	281	-	(281)
12.1 Benefits	-	777	-	(777)
<b>Total, Personnel and Compensation Benefits</b>	<b>2,100</b>	<b>2,077</b>	-	<b>(2,077)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	15	-	-	-
22.0 Transportation of things	-	3	-	(3)
25.2 Other services	-	27	-	(27)
26.0 Supplies and materials	-	44	-	(44)
31.0 Equipment	-	215	-	(215)
41.0 Grants/Subsidies/Contributions	5,988	6,000	-	(6,000)
<b>Total, Other Object Classes</b>	<b>6,003</b>	<b>6,289</b>	-	<b>(6,289)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>8,103</b>	<b>8,366</b>	-	<b>(8,366)</b>
<b>Full Time Equivalents</b>	<b>20</b>	<b>20</b>	-	<b>(20)</b>

**Forensic support and grants to NCMEC Mission Statement**

Support for Missing and Exploited Children - Provides grant funding and forensic support for cases involving missing and exploited children. Forensic support includes polygraph examinations, handwriting examinations, voiceprint comparisons, audio and video enhancements, age progressions/regressions, and fingerprint research and identification.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,638	1,011	-	(1,011)
11.3 Other than full-time permanent	11	8	-	(8)
11.5 Other personnel compensation	451	281	-	(281)
12.1 Benefits	-	777	-	(777)
<b>Total, Salaries &amp; Benefits</b>	<b>2,100</b>	<b>2,077</b>	-	<b>(2,077)</b>

Salaries and benefits include funding to cover costs for forensic support and grants to NCMEC (0 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	0	\$3	0	-\$3

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$27	0	-\$27

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	\$44	0	-\$44

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	0	\$215	0	-\$215

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
41.0 Grants/Subsidies/Contributions	\$5,988	\$6,000	0	-\$6,000

Grants/subsidies/contributions includes cash payments to states, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings or projects.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Electronic crimes special agent program and electronic crimes task forces**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	26,929	21,709	22,635	926
11.3 Other than full-time permanent	173	147	162	15
11.5 Other personnel compensation	7,424	6,117	6,346	229
12.1 Benefits	14,520	11,545	11,979	434
<b>Total, Personnel and Compensation Benefits</b>	<b>49,046</b>	<b>39,518</b>	<b>41,122</b>	<b>1,604</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	778	1,534	1,534	-
22.0 Transportation of things	2	152	152	-
23.1 GSA rent	2,103	4,720	4,720	-
23.2 Other rent	34	-	-	-
23.3 Communications, utilities, and misc. charges	7	106	106	-
24.0 Printing	-	33	33	-
25.2 Other services	1,941	2,628	2,628	-
26.0 Supplies and materials	763	1,047	1,047	-
31.0 Equipment	1,638	3,022	3,022	-
32.0 Land & structures	-	291	291	-
<b>Total, Other Object Classes</b>	<b>7,266</b>	<b>13,533</b>	<b>13,533</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>56,312</b>	<b>53,051</b>	<b>54,655</b>	<b>1,604</b>
<b>Full Time Equivalents</b>	<b>314</b>	<b>290</b>	<b>293</b>	<b>3</b>

**Electronic crimes special agent program and electronic crimes task forces Mission Statement**

Electronic Crimes Special Agent Program (ECSAP) - Develop and deploy personnel trained specifically to detect network intrusions and conduct examinations on all types of electronic evidence, including computers, personal data assistants, telecommunications devices, electronic organizers, scanners, and other electronic equipment, to investigate complex electronic crimes and develop strong cases for prosecution. Electronic Crimes Task Forces (ECTFs) - Form and expand partnerships to reinforce strategic alliances among law enforcement, academia and private industry to prevent, detect, investigate and mitigate the effects of electronic crimes on our nation's financial infrastructure. ECSAP and ECTF resources directly support the DHS strategic goal to protect critical infrastructure, which includes reducing losses resulting from electronic crimes perpetrated against our nation's financial infrastructure. The ECSAP and ECTFs combat those who seek to defraud U.S. financial institutions, private industry or individuals through electronic or digital means. The requested amount funds the ECSAP and ECTF entities in a strategic context that includes advances in photographic and printing device technologies and the worldwide spread of the internet and other consumer-friendly technologies. These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies and practices increases, the ECSAP and ECTF ensure the Service remains on the cutting edge of electronic crime investigations, and that it maintains liaisons with critical partners and stakeholders.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	26,929	21,709	22,635	926
11.3 Other than full-time permanent	173	147	162	15
11.5 Other personnel compensation	7,424	6,117	6,346	229
12.1 Benefits	14,520	11,545	11,979	434
<b>Total, Salaries &amp; Benefits</b>	<b>49,046</b>	<b>39,518</b>	<b>41,122</b>	<b>1,604</b>

Salaries and benefits include funding to cover costs for the electronic crimes special agent program and electronic crimes task forces (293 FTE).

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**International field office administration and operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	5,945	6,526	6,152	(374)
11.3 Other than full-time permanent	38	46	46	-
11.5 Other personnel compensation	1,638	1,704	1,712	8
12.1 Benefits	6,933	6,206	5,643	(563)
<b>Total, Personnel and Compensation Benefits</b>	<b>14,554</b>	<b>14,482</b>	<b>13,553</b>	<b>(929)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,156	2,438	2,428	(10)
22.0 Transportation of things	7	147	143	(4)
23.1 GSA rent	-	421	421	-
23.2 Other rent	3,787	1,105	905	(200)
23.3 Communications, utilities, and misc. charges	822	1,929	1,888	(41)
25.2 Other services	10,152	11,606	10,995	(611)
26.0 Supplies and materials	355	231	223	(8)
31.0 Equipment	64	463	311	(152)
32.0 Land & structures	-	149	149	-
<b>Total, Other Object Classes</b>	<b>16,343</b>	<b>18,489</b>	<b>17,463</b>	<b>(1,026)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>30,897</b>	<b>32,971</b>	<b>31,016</b>	<b>(1,955)</b>
<b>Full Time Equivalents</b>	<b>65</b>	<b>76</b>	<b>74</b>	<b>(2)</b>

**International field office administration and operations Mission Statement**

International Field Office Administration and Operations - Provide a comprehensive, internationally-coordinated response to threats to the integrity of U.S. currency and other transnational financial crimes. International field office administration and operations resources directly support the DHS strategic goal to protect critical infrastructure, which includes protecting our nation's currency and financial systems from threats originating abroad. The requested amount funds field offices in a strategic context that includes advances in photographic and printing device technologies and the worldwide spread of the internet, other consumer-friendly technologies and dollarization (when a developing country replaces its national currency with the U.S. dollar). These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies and practices increases, field resources must continue to demonstrate agility in combating criminal efforts.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change

11.1 Total FTE & personnel compensation	5,945	6,526	6,152	(374)
11.3 Other than full-time permanent	38	46	46	-
11.5 Other personnel compensation	1,638	1,704	1,712	8
12.1 Benefits	6,933	6,206	5,643	(563)
<b>Total, Salaries &amp; Benefits</b>	<b>14,554</b>	<b>14,482</b>	<b>13,553</b>	<b>(929)</b>

Salaries and benefits include funding to cover costs for international field office administration and operations (74 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$1,156	\$2,438	\$2,428	-\$10

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$7	\$147	\$143	-\$4

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$3,787	\$1,105	\$905	-\$200

Other rent includes all payments to a non-federal source for rental of space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$822	\$1,929	\$1,888	-\$41

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$10,152	\$11,606	\$10,995	-\$611

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$355	\$231	\$223	-\$8

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$64	\$463	\$311	-\$152

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Domestic field operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	117,338	93,973	102,142	8,169
11.3 Other than full-time permanent	752	261	394	133
11.5 Other personnel compensation	32,343	27,318	29,392	2,074
12.1 Benefits	69,001	48,281	52,329	4,048
<b>Total, Personnel and Compensation Benefits</b>	<b>219,434</b>	<b>169,833</b>	<b>184,257</b>	<b>14,424</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	3,888	10,884	10,884	-
22.0 Transportation of things	401	-	2	2
23.1 GSA rent	18,903	23,988	23,988	-
23.2 Other rent	125	-	-	-
23.3 Communications, utilities, and misc. charges	543	320	320	-
24.0 Printing	1	7	7	-
25.2 Other services	9,696	7,952	7,966	14
26.0 Supplies and materials	3,549	5,680	5,702	22
31.0 Equipment	2,655	4,047	4,147	100
32.0 Land & structures	2,306	1,280	1,280	-
42.0 Insurance Claims and Indemnity	57	-	-	-
<b>Total, Other Object Classes</b>	<b>42,124</b>	<b>54,158</b>	<b>54,296</b>	<b>138</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>261,558</b>	<b>223,991</b>	<b>238,553</b>	<b>14,562</b>
<b>Full Time Equivalents</b>	<b>1,625</b>	<b>1,457</b>	<b>1,526</b>	<b>69</b>

**Domestic field operations Mission Statement**

Domestic Field Operations - Investigate violations of laws relating to counterfeiting of obligations and securities of the United States; investigate financial crimes that include, but are not limited to, financial institution fraud, identity theft, access device fraud, and money laundering. Domestic field office resources directly support the DHS strategic goal to protect critical infrastructure, which includes protecting our nation's currency and financial systems within our borders. The requested amount funds field offices nationwide in a strategic context that includes advances in photographic and printing device technologies and the spread of the internet and other consumer-friendly technologies. These developments both facilitate electronic commerce and increase the scope and complexity of financial crimes. As criminal exploitation of available technologies increases, field resources must continue to demonstrate agility in combating criminal efforts.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual	FY 2012 Enacted	FY 2013 Requested	FY 2012 to FY 2013



	Obligations	Budget Authority	Budget Authority	Change
11.1 Total FTE & personnel compensation	117,338	93,973	102,142	8,169
11.3 Other than full-time permanent	752	261	394	133
11.5 Other personnel compensation	32,343	27,318	29,392	2,074
12.1 Benefits	69,001	48,281	52,329	4,048
<b>Total, Salaries &amp; Benefits</b>	<b>219,434</b>	<b>169,833</b>	<b>184,257</b>	<b>14,424</b>

Salaries and benefits include funding to cover costs for domestic field operations (1,526 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$401</b>	<b>0</b>	<b>\$2</b>	<b>\$2</b>

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$9,696</b>	<b>\$7,952</b>	<b>\$7,966</b>	<b>\$14</b>

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$3,549</b>	<b>\$5,680</b>	<b>\$5,702</b>	<b>\$22</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$2,655</b>	<b>\$4,047</b>	<b>\$4,147</b>	<b>\$100</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**Protective intelligence activities**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	33,833	33,390	33,528	138
11.3 Other than full-time permanent	174	251	252	1
11.5 Other personnel compensation	9,368	9,270	9,312	42
12.1 Benefits	17,661	15,846	15,913	67
<b>Total, Personnel and Compensation Benefits</b>	<b>61,036</b>	<b>58,757</b>	<b>59,005</b>	<b>248</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	46	496	496	-
22.0 Transportation of things	109	10	10	-
23.1 GSA rent	4,933	6,797	6,797	-
23.3 Communications, utilities, and misc. charges	-	431	431	-
24.0 Printing	-	21	21	-
25.2 Other services	130	716	716	-
26.0 Supplies and materials	797	672	672	-
31.0 Equipment	849	183	183	-
32.0 Land & structures	-	42	42	-
<b>Total, Other Object Classes</b>	<b>6,864</b>	<b>9,368</b>	<b>9,368</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>67,900</b>	<b>68,125</b>	<b>68,373</b>	<b>248</b>
<b>Full Time Equivalents</b>	<b>529</b>	<b>535</b>	<b>535</b>	<b>-</b>

**Protective intelligence activities Mission Statement**

Protective Intelligence Activities - Ensure protective intelligence processes, policies and systems provide quality information and services to securely and efficiently support the protective mission by investigating subjects (individuals or groups) and activities that pose threats to protectees and protected events. Protective intelligence activities resources directly support the DHS strategic goal to protect critical infrastructure, which includes proactively leveraging advances in the behavioral and technological sciences in order to minimize the risk of harm to persons, property and events under Secret Service protection. The requested amount funds these activities in a strategic environment characterized by terrorists' sustained motivation to attack these targets, and by the increasing complexity and technological sophistication of the threat environment.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	33,833	33,390	33,528	138
11.3 Other than full-time permanent	174	251	252	1
11.5 Other personnel compensation	9,368	9,270	9,312	42
12.1 Benefits	17,661	15,846	15,913	67
<b>Total, Salaries &amp; Benefits</b>	<b>61,036</b>	<b>58,757</b>	<b>59,005</b>	<b>248</b>

Salaries and benefits include funding to cover costs for protective intelligence activities (535 FTE).

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**White House mail screening**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	681	684	3
11.3 Other than full-time permanent	-	7	7	-
11.5 Other personnel compensation	-	340	341	1
12.1 Benefits	-	441	443	2
<b>Total, Personnel and Compensation Benefits</b>	-	<b>1,469</b>	<b>1,475</b>	<b>6</b>
<b>Other Object Classes</b>	-	-	-	-
23.1 GSA rent	3,940	3,940	3,940	-
25.2 Other services	5,906	13,063	13,063	-
26.0 Supplies and materials	12	-	-	-
31.0 Equipment	25	-	1,377	1,377
<b>Total, Other Object Classes</b>	<b>9,883</b>	<b>17,003</b>	<b>18,380</b>	<b>1,377</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>9,883</b>	<b>18,472</b>	<b>19,855</b>	<b>1,383</b>
<b>Full Time Equivalents</b>	-	7	7	-

**White House mail screening Mission Statement**

White House Mail Screening - Screen White House mail to ensure it is free of harmful toxins or other dangerous materials. White House mail screening resources directly support the DHS strategic goal to protect critical infrastructure, which includes measures ensuring the safety and security of the White House Complex and persons who reside and/or work within it.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	681	684	3
11.3 Other than full-time permanent	-	7	7	-
11.5 Other personnel compensation	-	340	341	1
12.1 Benefits	-	441	443	2
<b>Total, Salaries &amp; Benefits</b>	-	<b>1,469</b>	<b>1,475</b>	<b>6</b>

Salaries and benefits include funding to cover costs for White House mail screening activities (7 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$25	0	\$1,377	\$1,377

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**Presidential candidate nominee protection**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,988	22,626	14,327	(8,299)
11.3 Other than full-time permanent	20	369	226	(143)
11.5 Other personnel compensation	823	20,551	12,142	(8,409)
12.1 Benefits	-	10,546	6,683	(3,863)
<b>Total, Personnel and Compensation Benefits</b>	<b>3,831</b>	<b>54,092</b>	<b>33,378</b>	<b>(20,714)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	759	34,853	15,441	(19,412)
22.0 Transportation of things	1	863	242	(621)
23.2 Other rent	-	-	663	663
23.3 Communications, utilities, and misc. charges	-	3,624	3,624	-
24.0 Printing	-	15	16	1
25.2 Other services	295	4,975	2,070	(2,905)
26.0 Supplies and materials	384	1,063	214	(849)
31.0 Equipment	12,191	13,688	2,312	(11,376)
32.0 Land & structures	-	289	-	(289)
<b>Total, Other Object Classes</b>	<b>13,630</b>	<b>59,370</b>	<b>24,582</b>	<b>(34,788)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>17,461</b>	<b>113,462</b>	<b>57,960</b>	<b>(55,502)</b>
<b>Full Time Equivalents</b>	<b>24</b>	<b>275</b>	<b>170</b>	<b>(105)</b>

**Presidential candidate nominee protection Mission Statement**

Presidential Candidate Nominee Protection - Ensure the safety and security of Presidential and Vice Presidential candidates, nominees and spouses. Protection resources directly support the DHS strategic goal to protect critical infrastructure, which includes candidates seeking our nation's highest offices. The Service ensures protectees' physical protection at all times. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever protectees work, reside and travel. The requested amount addresses strategic challenges which include terrorists' sustained motivation to attack U.S. interests (including its leaders), and the increasing technological sophistication of the threat environment.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,988	22,626	14,327	(8,299)

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,988	22,626	14,327	(8,299)
11.3 Other than full-time permanent	20	369	226	(143)
11.5 Other personnel compensation	823	20,551	12,142	(8,409)
12.1 Benefits	-	10,546	6,683	(3,863)
<b>Total, Salaries &amp; Benefits</b>	<b>3,831</b>	<b>54,092</b>	<b>33,378</b>	<b>(20,714)</b>

Salaries and benefits include funding to cover costs to provide presidential candidate nominee protection (170 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$759</b>	<b>\$34,853</b>	<b>\$15,441</b>	<b>-\$19,412</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$1</b>	<b>\$863</b>	<b>\$242</b>	<b>-\$621</b>

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>0</b>	<b>0</b>	<b>\$663</b>	<b>\$663</b>

<b>0</b>	<b>0</b>	<b>663</b>	<b>663</b>
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	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>0</b>	<b>\$15</b>	<b>\$16</b>	<b>\$1</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$295</b>	<b>\$4,975</b>	<b>\$2,070</b>	<b>-\$2,905</b>

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$384</b>	<b>\$1,063</b>	<b>\$214</b>	<b>-\$849</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$12,191</b>	<b>\$13,688</b>	<b>\$2,312</b>	<b>-\$11,376</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>32.0 Land &amp; structures</b>	<b>0</b>	<b>\$289</b>	<b>0</b>	<b>-\$289</b>



**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**National Special Security Event Fund**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	233	898	665
11.3 Other than full-time permanent	-	2	12	10
11.5 Other personnel compensation	-	4,552	390	(4,162)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>4,787</b>	<b>1,300</b>	<b>(3,487)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,239	8,373	3,200	(5,173)
22.0 Transportation of things	661	1,081	-	(1,081)
23.1 GSA rent	197	-	-	-
23.2 Other rent	-	513	-	(513)
23.3 Communications, utilities, and misc. charges	-	1,543	-	(1,543)
24.0 Printing	-	5	-	(5)
25.2 Other services	1,972	1,589	-	(1,589)
26.0 Supplies and materials	33	203	-	(203)
31.0 Equipment	883	1,213	-	(1,213)
32.0 Land & structures	861	-	-	-
<b>Total, Other Object Classes</b>	<b>5,846</b>	<b>14,520</b>	<b>3,200</b>	<b>(11,320)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>5,846</b>	<b>19,307</b>	<b>4,500</b>	<b>(14,807)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**National Special Security Event Fund Mission Statement**

National Special Security Events - Effectively lead and manage the planning, coordination and implementation of operational security plans at designated NSSEs. Ensure the physical protection of the President, the public, and other Secret Service protectees who participate in NSSEs. NSSE resources directly support the DHS strategic goal to protect critical infrastructure, which includes events of symbolic importance to American citizens. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever these specially designated events take place. The requested amount ensures NSSE security measures continue to evolve at an appropriate pace to meet the challenges of an increasingly complex threat environment.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	233	898	665

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	233	898	665
11.3 Other than full-time permanent	-	2	12	10
11.5 Other personnel compensation	-	4,552	390	(4,162)
<b>Total, Salaries &amp; Benefits</b>	-	<b>4,787</b>	<b>1,300</b>	<b>(3,487)</b>

Salaries and benefits include funding to cover costs to provide security at National Special Security Events (0 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,239</b>	<b>\$8,373</b>	<b>\$3,200</b>	<b>-\$5,173</b>

Salaries and benefits includes funding to cover costs to provide security at National Special Security Events.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$661</b>	<b>\$1,081</b>	<b>0</b>	<b>-\$1,081</b>

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>0</b>	<b>\$513</b>	<b>0</b>	<b>-\$513</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>0</b>	<b>\$1,543</b>	<b>0</b>	<b>-\$1,543</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>0</b>	<b>\$5</b>	<b>0</b>	<b>-\$5</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$1,972</b>	<b>\$1,589</b>	<b>0</b>	<b>-\$1,589</b>

Other services include contractual services with federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$33	\$203	0	-\$203

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$883	\$1,213	0	-\$1,213

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Operating Expenses**  
**Protection**  
**Protection of persons and facilities**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	355,790	393,372	411,049	17,677
11.3 Other than full-time permanent	1,822	2,145	2,153	8
11.5 Other personnel compensation	97,942	107,867	89,213	(18,654)
12.1 Benefits	175,027	171,180	172,617	1,437
<b>Total, Personnel and Compensation Benefits</b>	<b>630,581</b>	<b>674,564</b>	<b>675,032</b>	<b>468</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	63,317	61,755	47,949	(13,806)
22.0 Transportation of things	1,352	1,680	1,696	16
23.1 GSA rent	23,089	31,151	31,154	3
23.2 Other rent	61	25	178	153
23.3 Communications, utilities, and misc. charges	15,372	14,211	14,305	94
24.0 Printing	-	126	99	(27)
25.2 Other services	29,021	22,748	37,928	15,180
26.0 Supplies and materials	13,267	6,343	6,083	(260)
31.0 Equipment	29,894	15,791	19,153	3,362
32.0 Land & structures	1,677	4,003	4,003	-
42.0 Insurance Claims and Indemnity	23	66	66	-
<b>Total, Other Object Classes</b>	<b>177,073</b>	<b>157,899</b>	<b>162,614</b>	<b>4,715</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>807,654</b>	<b>832,463</b>	<b>837,646</b>	<b>5,183</b>
<b>Full Time Equivalents</b>	<b>3,730</b>	<b>3,782</b>	<b>3,722</b>	<b>(60)</b>

**Protection of persons and facilities Mission Statement**

Protection of Persons and Facilities - Ensure the safety and security of national leaders, visiting heads of state and government and other designated protectees. Safeguard the White House Complex, the Vice President's residence, foreign missions in the Washington, DC area and other high profile sites. Protection resources directly support the DHS strategic goal to protect critical infrastructure, which includes our nation's leaders, other high profile persons and designated sites. The Service ensures protectees' physical protection at all times. Protection includes all activities related to identifying threats, mitigating vulnerabilities and creating secure environments wherever protectees work, reside and travel. The requested amount addresses strategic challenges which include terrorists' sustained motivation to attack U.S. interests (including its leaders), and the increasing complexity and technological sophistication of the threat environment.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	355,790	393,372	411,049	17,677
11.3 Other than full-time permanent	1,822	2,145	2,153	8
11.5 Other personnel compensation	97,942	107,867	89,213	(18,654)
12.1 Benefits	175,027	171,180	172,617	1,437
<b>Total, Salaries &amp; Benefits</b>	<b>630,581</b>	<b>674,564</b>	<b>675,032</b>	<b>468</b>

Salaries and benefits include funding to cover costs to provide protection of persons and facilities (3,722 FTE).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$63,317</b>	<b>\$61,755</b>	<b>\$47,949</b>	<b>-\$13,806</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with federal travel regulations.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$1,352</b>	<b>\$1,680</b>	<b>\$1,696</b>	<b>\$16</b>

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$23,089</b>	<b>\$31,151</b>	<b>\$31,154</b>	<b>\$3</b>

GSA rent includes all payments to the General Services Administration (GSA) for rental of space and rent-related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$61</b>	<b>\$25</b>	<b>\$178</b>	<b>\$153</b>

Other rent includes all payments to a non-Federal source for rental of space, land, and structures.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$15,372</b>	<b>\$14,211</b>	<b>\$14,305</b>	<b>\$94</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>0</b>	<b>\$126</b>	<b>\$99</b>	<b>-\$27</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other federal entities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	\$29,021	\$22,748	\$37,928	\$15,180

Other services include contractual services from federal and non-federal sources.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$13,267	\$6,343	\$6,083	-\$260

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$29,894	\$15,791	\$19,153	\$3,362

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>6,788</b>	<b>6,905</b>	<b>7,055</b>
<b>Increases</b>			
Operational Mission Support	-	35	35
Acquisition Workforce	-	2	1
Information Integration and Technology Transformation	2	5	-
International Field Office Administration and Operations	-	2	(2)
Increase for accession and separation activity projected in subject year	115	150	-
<b>Subtotal, Increases</b>	<b>117</b>	<b>194</b>	<b>34</b>
<b>Decreases</b>			
Technical Adjustment	-	(44)	-
Elimination of Forensic Support	-	-	(8)
DHS/OMB FTE Reduction Requirement	-	-	(20)
International Field Office Administration and Operations	-	2	(2)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(42)</b>	<b>(30)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>6,905</b>	<b>7,057</b>	<b>7,059</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>117</b>	<b>152</b>	<b>4</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Protection of persons and facilities	\$1,924	\$2,339	\$4,024	\$1,685
Domestic field operations	597	689	1,033	344
Headquarters, management and administration	8,148	1,963	4,322	2,359
Rowley training center	308	372	459	87
International field office administration and operations	58	66	125	59
Electronic crimes special agent program and electronic crimes task forces	117	129	202	73
White House mail screening	40	47	121	74
Forensic support and grants to NCMEC	21	25	0	-25
Protective intelligence activities	143	162	261	99
<b>Total Working Capital Fund</b>	<b>11,356</b>	<b>5,792</b>	<b>10,547</b>	<b>4,755</b>



**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*United States Secret Service*

*Acquisition, Construction, and Improvements*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **United States Secret Service Acquisition, Construction, and Improvements**

### **I. Appropriation Overview**

#### **A. Mission Statement for Acquisition, Construction, and Improvements:**

The Acquisition, Construction, and Improvements (ACI) account ensures funding related to the support and deferred maintenance of the James J. Rowley Training Center (JJRTC) and for Information Integration and Technology Transformation project execution.

The JJRTC is the primary training center for the United States Secret Service. The overall support and maintenance provided through ACI funding is critical to the agency's missions – protection and criminal investigations. ACI funding provides critical support for JJRTC infrastructure, life cycle maintenance of structures and systems; as well as sustainment of existing facilities and program support assets. The JJRTC is utilized by special agents, uniformed officers, and support personnel.

Information Integration and Technology Transformation, formerly known as Information Integration and Transformation (IIT), includes IT modernization and related investments. Many of these projects will proceed through a requirements/cost/alternatives assessment phase, design phase, initial implementation (beta-testing) phase and, finally, full deployment.

#### **B. Budget Activities:**

##### James J. Rowley Training Center (JJRTC)

The protection and criminal investigation training required to meet the needs of the Service's dual mission is provided at the James J. Rowley Training Center.

##### Information Integration and Technology Transformation (IITT)

The Secret Service relies heavily on Information Technology (IT) infrastructure and communications systems to achieve its protective and investigative missions. Secret Service generated a classified Mission Needs Statement (MNS) for Information Integration and Technology Transformation (IITT) that identified existing deficiencies and disparities in the Secret Service IT infrastructure, database architecture, cyber security, communications, cross domain application multi-level security, access control, investigative technologies, information assurance, and resource management capabilities.

#### **C. Budget Request Summary:**

The United States Secret Service requests \$56,750,000 (0 FTE) for FY 2013. This level of funding is required for and includes the following:

- Adjustments to the base include non-recurring one-time funding of \$950,000 provided in FY2012 for deferred maintenance at the James J. Rowley Training Center and a transfer in of \$42,824,000 for Information Integration and Technology Transformation (IITT) from the Headquarters, management and administration PPA (Salaries and Expenses) for non-personnel costs associated with the project.
- A program increase of \$9,496,000 for Information Integration and Technology Transformation (IITT) required to redesign and deploy a new USSS database infrastructure, upgrade USSS IT and communication systems, and improve Secret Service cyber security.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**U.S. Secret Service**  
**Acquisition, Construction, and Improvements**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Request  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Information Integration & Technology Transformation	-	-	-	-	-	-	-	-	52,320	-	-	52,320	-	-	9,496	-	-	42,824
James J. Rowley Training Center	-	-	6,951	-	-	5,380	-	-	4,430	-	-	(950)	-	-	-	-	-	(950)
<b>Total, Acquisition, Construction, and Improvements</b>	-	-	<b>6,951</b>	-	-	<b>5,380</b>	-	-	<b>56,750</b>	-	-	<b>51,370</b>	-	-	<b>9,496</b>	-	-	<b>41,874</b>
Subtotal, Enacted Appropriations and Budget Estimates	-	-	6,951	-	-	5,380	-	-	56,750	-	-	51,370	-	-	9,496	-	-	41,874
Less: Adjustments for Other Funding Sources	-	-	(2,984)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>3,967</b>	-	-	<b>5,380</b>	-	-	<b>56,750</b>	-	-	<b>51,370</b>	-	-	<b>9,496</b>	-	-	<b>41,874</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
U.S. Secret Service  
Acquisition, Construction, and Improvements  
James J. Rowley Training Center  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: James J. Rowley Training Center**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actuals</b>	-	-	<b>6,951</b>
<b>2012 Enacted</b>	-	-	<b>5,380</b>
2013 Adjustments-to-Base	-	-	(950)
<b>2013 Current Services</b>	-	-	<b>4,430</b>
<b>2013 Total Request</b>	-	-	<b>4,430</b>
Total Change 2012 to 2013	-	-	(950)

The United States Secret Service requests \$4.430 million and 0 FTE for this activity.

- Decrease of \$950 thousand for deferred maintenance at the James J. Rowley Training Center

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Funding in this PPA covers the cost of maintenance and improvement contracts associated with upkeep of the James J. Rowley Training Center. This facility provides the protection and criminal investigation training required to meet the needs of the Service's dual mission.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Acquisition, Construction, and Improvements**  
**Information Integration & Technology Transformation**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Information Integration & Technology Transformation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	-	-	-
<b>2012 Enacted</b>	-	-	-
2013 Adjustments-to-Base	-	-	42,824
<b>2013 Current Services</b>	-	-	<b>42,824</b>
2013 Program Change	-	-	9,496
<b>2013 Total Request</b>	-	-	<b>52,320</b>
Total Change 2012 to 2013	-	-	52,320

The United States Secret Service requests \$52.320 million and 0 FTE for this activity.

- Transfer of \$42.824 million from Headquarters, management and administration PPA (Salaries and Expenses)
- Program increase of \$9.496 million for Information Integration and Technology Transformation

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Secret Service relies heavily on Information Technology (IT) infrastructure and communications systems to achieve its protective and investigative missions. Secret Service generated a classified Mission Needs Statement (MNS) for Information Integration and Technology Transformation (IITT) that identified existing deficiencies and disparities in the Secret Service IT infrastructure, database architecture, cyber security, communications, cross domain application multi-level security, access control, investigative technologies, information assurance, and resource management capabilities. Requested funding will enable the Secret Service’s IT networks, data systems, applications, and system security to fully support the evolving technological advancements linked to present operational requirements. The dated infrastructure lacks the ability to support newer technologies (e.g., internet protocol, IPv6), share common DHS enterprise services, or migrate to approved data centers. This modernization will be implemented by means of an extensive re-architecting of the current



infrastructure and the careful selection and integration of interoperable capabilities to support critical mission needs. The IITT program consists of enabling, communications, and control capabilities, as well as cross-cutting mission support capabilities.

Funding for this program in FY2013 will allow the Secret Service to commence Phase II (Design and Development) of the new operating environment, which involves a significant re-architecting of the existing dated infrastructure. It will also reduce the use of premium contract services to compensate for maintaining older computing infrastructure systems and legacy applications in on order to meet mission requirements.

Funding for this activity supports the Secret Service strategic performance measures of:

- *Percent of total U.S. Secret Service protection activities that are incident – free for protection of national leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities.*
- *Percent of National Security Events that were successfully completed.*

Funding for this program will enable the Secret Service to accomplish the aforementioned performance goals.

## IV. Program Justification Changes

**Department of Homeland Security  
U.S. Secret Service  
Acquisition, Construction, and Improvements  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Increase 1:** Information Integration and Technology Transformation  
 PPA: Information Integration & Technology Transformation  
 Program Increase: Positions 0, FTE 0, Dollars \$9,496

### Funding Profile

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	42,824
Program Increase							-	-	9,496
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>52,320</b>

### **Description of Item**

The Secret Service relies heavily on Information Technology (IT) infrastructure and communications systems to achieve its protective and investigative missions. Secret Service generated a classified Mission Needs Statement (MNS) for Information Integration and Technology Transformation (IITT) that identified existing deficiencies and disparities in the Secret Service IT infrastructure, database architecture, cyber security, communications, cross domain application multi-level security, access control, investigative technologies, information assurance, and resource management capabilities. Requested funding will enable the Secret Service's IT networks, data systems, applications, and system security to fully support the evolving technological advancements linked to present operational requirements. The dated infrastructure lacks the ability to support newer technologies, share common DHS enterprise services, or migrate to approved data centers. This modernization will be implemented by means of an extensive re-architecting of the current infrastructure and the careful selection and integration of interoperable capabilities to support critical mission needs.

### **Justification**

The requested FY 2013 funding will allow the Secret Service to reach Initial Operating Capability (IOC) for IT Modernization, Cyber Security, and deployment of critical mission applications by the end of the fiscal year. The funding will enable the Secret Service to operate in a modern computer environment with enhanced cyber security protections and modern software and technologies.

Specifically, funding is necessary for the acquisition of additional Storage Area Network (SAN) discs and servers. The Secret Service has 30 legacy applications that are written in the dated computer language “COBOL” that must be re-factored into a modern computer language “.net” to support data sharing. The SAN equipment is critical to testing the reliability and integrity of data translation during re-factoring activities. This hardware allows mission support applications in development to reach production status.

The modern network will reduce IT sustainment costs associated with supporting dated mainframe technologies and legacy software applications. Sustainment of the existing Secret Service network environment is approximately \$3 million per year, which will be eliminated at Full Operating Capacity (FOC).

### **Impact on Performance**

Funding for this program will allow the Secret Service to commence Phase II (Design and Development) of the new operating environment, which involves a significant re-architecting of the existing dated infrastructure. It will also reduce the use of premium contract services to compensate for maintaining older computing infrastructure systems and legacy applications in on order to meet mission requirements.

Funding for this activity supports the Secret Service missions to protect National leaders, foreign dignitaries, designated protectees and others during travel or at protected facilities as well as National Security Events. By funding this program, the Secret Service will have the resources necessary to accomplish the aforementioned performance goals.

Fully funding this initiative would avoid delays in adding new SAN discs and servers. Mission support applications currently in planning will reach production status with this critical hardware. Specifically, these hardware replacements support existing business line applications, including the Enterprise Financial Systems. In addition, this funding provides NSSE infrastructure support necessary to meet mission requirements for credentialing, infrastructure delivery, and IT support activities.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
United States Secret Service  
Justification of Proposed Changes in  
Acquisition, Construction, and Improvements  
Appropriation Language**

For necessary expenses for acquisition, construction, [repair, alteration,] and improvement of [facilities]physical and technological infrastructure, [\$5,380,000]\$56,750,000, of which \$4,430,000, to remain available until September 30, [2016]2017, shall be for acquisition, construction, improvement, and maintenance of facilities, and of which \$52,320,000, to remain available until September 30, 2015, shall be for information integration and technology transformation project execution. (Department of Homeland Security Appropriations Act, 2012.)

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
U.S. Secret Service  
Acquisition, Construction, and Improvements  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	-	-	<b>6,951</b>
<b>FY 2012 Enacted</b>	-	-	<b>5,380</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer in of non-personnel IITT funding	-	-	42,824
<b>Total, Transfers</b>	-	-	<b>42,824</b>
<b>Increases</b>	-	-	-
<b>Total, Increases</b>	-	-	-
<b>Decreases</b>	-	-	-
Deferred maintenance (JJRTC)	-	-	(950)
<b>Total, Decreases</b>	-	-	<b>(950)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>41,874</b>
<b>FY 2013 Current Services</b>	-	-	<b>47,254</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Information Integration and Technology Transformation	-	-	9,496
<b>Total, Increases</b>	-	-	<b>9,496</b>
<b>Total, Program Changes</b>	-	-	<b>9,496</b>
<b>FY 2013 Request</b>	-	-	<b>56,750</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>51,370</b>

## C. Summary of Requirements

**Department of Homeland Security  
U.S. Secret Service  
Acquisition, Construction, and Improvements  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actuals</b>	-	-	6,951
<b>FY 2012 Enacted</b>	-	-	5,380
<b>Adjustments-to-Base</b>	-	-	-
Transfers	-	-	42,824
Decreases	-	-	(950)
<b>Total, Adjustments-to-Base</b>	-	-	41,874
<b>FY 2013 Current Services</b>	-	-	47,254
<b>Program Changes</b>	-	-	-
Increases	-	-	9,496
<b>Total, Program Changes</b>	-	-	9,496
<b>FY 2013 Request</b>	-	-	56,750
<b>FY 2012 to FY 2013 Total Change</b>	-	-	51,370

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Information Integration & Technology Transformation	-	-	-	-	-	42,824	-	-	9,496	-	-	52,320	-	-	52,320
James J. Rowley Training Center	-	-	5,380	-	-	(950)	-	-	-	-	-	4,430	-	-	(950)
<b>Total</b>	-	-	5,380	-	-	41,874	-	-	9,496	-	-	56,750	-	-	51,370

**D. Summary of Reimbursable Resources**

**N/A**

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**U.S. Secret Service**  
**Acquisition, Construction, and Improvements**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	(77)	-	-	-
23.3 Communications, utilities, and misc. charges	12	-	20	20
25.2 Other services	6,432	3,983	39,346	35,363
26.0 Supplies and materials	79	38	38	-
31.0 Equipment	14	35	16,372	16,337
32.0 Land & structures	491	1,324	974	(350)
<b>Total, Other Object Classes</b>	<b>6,951</b>	<b>5,380</b>	<b>56,750</b>	<b>51,370</b>
<b>Total, Direct Obligations</b>	<b>6,951</b>	<b>5,380</b>	<b>56,750</b>	<b>51,370</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	630	-	-	-
Unobligated balance, start of year	(3,614)	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>(2,984)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Requirements</b>	<b>3,967</b>	<b>5,380</b>	<b>56,750</b>	<b>51,370</b>
<b>Full Time Equivalents</b>	-	-	-	-



## **F. Permanent Positions by Grade**

**N/A**

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
U.S. Secret Service  
Acquisition, Construction, and Improvements  
James J. Rowley Training Center  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	(77)	-	-	-
23.3 Communications, utilities, and misc. charges	12	-	-	-
25.2 Other services	6,432	3,983	3,383	(600)
26.0 Supplies and materials	79	38	38	-
31.0 Equipment	14	35	35	-
32.0 Land & structures	491	1,324	974	(350)
<b>Total, Other Object Classes</b>	<b>6,951</b>	<b>5,380</b>	<b>4,430</b>	<b>(950)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	(3,614)	-	-	-
Unobligated Balance, end of year	630	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>(2,984)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Requirements</b>	<b>3,967</b>	<b>5,380</b>	<b>4,430</b>	<b>(950)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### James J. Rowley Training Center Mission Statement

The protection and criminal investigation training required to meet the needs of the Service's dual mission is provided at the James J. Rowley Training Center.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.2 Other services	\$6,432	\$3,983	\$3,383	-\$600

Other services include contractual services with non-Federal sources.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
32.0 Land & structures	\$491	\$1,324	\$974	-\$350

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease.

**Department of Homeland Security**  
**U.S. Secret Service**  
**Acquisition, Construction, and Improvements**  
**Information Integration & Technology Transformation**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
23.3 Communications, utilities, and misc. charges	-	-	20	20
25.2 Other services	-	-	35,963	35,963
31.0 Equipment	-	-	16,337	16,337
<b>Total, Other Object Classes</b>	-	-	<b>52,320</b>	<b>52,320</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>52,320</b>	<b>52,320</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Information Integration & Technology Transformation Mission Statement**

The Secret Service relies heavily on Information Technology (IT) infrastructure and communications systems to achieve its protective and investigative missions. Secret Service generated a classified Mission Needs Statement (MNS) for Information Integration and Transformation (IIT) that identified existing deficiencies and disparities in the Secret Service IT infrastructure, database architecture, cyber security, communications, cross domain application multi-level security, access control, investigative technologies, information assurance, and resource management capabilities. Requested funding will enable the Secret Service IT networks, data systems, applications, and system security to fully meet basic operational requirements.

**Summary Justification and Explanation of Changes**

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>0</b>	<b>0</b>	<b>\$20</b>	<b>\$20</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>0</b>	<b>0</b>	<b>\$35,963</b>	<b>\$35,963</b>

Other services include contractual services from federal and non-federal sources.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>0</b>	<b>0</b>	<b>\$16,337</b>	<b>\$16,337</b>

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
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Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract.

## **I. Changes in Full Time Employment**

**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

## **K. DHS Balanced Workforce Strategy**

**N/A**



**ia. Summary of FY Budget Estimates by Appropriation without Emergency Funding**  
**Department of Homeland Security**  
**National Protection & Programs Directorate**  
Summary of FY 2013 Budget Estimates by Appropriation

Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Management and Administration	184	184	43,296	243	242	50,695	248	248	50,321	5	6	(374)	-	-	-	5	6	(374)
Federal Protective Service	1,225	1,195	1,133,961	1,371	1,279	1,285,599	1,371	1,279	1,301,824	-	-	16,225	-	-	-	-	-	16,225
Infrastructure Protection and Information Security	1,135	915	833,057	1,251	1,151	888,243	1,336	1,260	1,166,633	85	109	278,390	46	25	318,224	39	84	(39,834)
US-VISIT	319	269	357,527	413	400	306,802	-	-	-	(413)	(400)	(306,802)	-	-	-	(413)	(400)	(306,802)
<b>Total, National Protection &amp; Programs Directorate</b>	<b>2,863</b>	<b>2,563</b>	<b>2,367,841</b>	<b>3,278</b>	<b>3,072</b>	<b>2,531,339</b>	<b>2,955</b>	<b>2,787</b>	<b>2,518,778</b>	<b>(323)</b>	<b>(285)</b>	<b>(12,561)</b>	<b>46</b>	<b>25</b>	<b>318,224</b>	<b>(369)</b>	<b>(310)</b>	<b>(330,785)</b>
Subtotal, Enacted Appropriations and Budget Estimates	2,863	2,563	2,367,841	3,278	3,072	2,531,339	2,955	2,787	2,518,778	(323)	(285)	(12,561)	46	25	318,224	(369)	(310)	(330,785)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>2,863</b>	<b>2,563</b>	<b>2,367,841</b>	<b>3,278</b>	<b>3,072</b>	<b>2,531,339</b>	<b>2,955</b>	<b>2,787</b>	<b>2,518,778</b>	<b>(323)</b>	<b>(285)</b>	<b>(12,561)</b>	<b>46</b>	<b>25</b>	<b>318,224</b>	<b>(369)</b>	<b>(310)</b>	<b>(330,785)</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
 Homeland and Non-Homeland Allocation by Program/Projects Activity  
 (Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Management and Administration</b>	184	\$43,296	-	-	184	\$43,296	242	\$50,695	-	-	242	\$50,695	248	\$50,321	-	-	248	\$50,321
Directorate Administration	148	34,445	-	-	148	34,445	203	46,454	-	-	203	46,454	248	50,321	-	-	248	50,321
Risk Management & Analysis	36	8,851	-	-	36	8,851	39	4,241	-	-	39	4,241	-	-	-	-	-	-
<b>Federal Protective Service</b>	1,195	1,133,961	-	-	1,195	1,133,961	1,279	1,285,599	-	-	1,279	1,285,599	1,279	1,301,824	-	-	1,279	1,301,824
Basic Security	1,195	258,262	-	-	1,195	258,262	1,279	271,540	-	-	1,279	271,540	1,279	271,540	-	-	1,279	271,540
Building Specific Security	-	449,546	-	-	-	449,546	-	501,039	-	-	-	501,039	-	509,056	-	-	-	509,056
Reimbursable Agency Specific Security	-	426,153	-	-	-	426,153	-	513,020	-	-	-	513,020	-	521,228	-	-	-	521,228
<b>Infrastructure Protection and Information Security</b>	524	684,741	391	\$148,316	915	833,057	1,151	888,243	-	-	1,151	888,243	1,260	1,166,632	-	\$1	1,260	1,166,633
Infrastructure Protection	190	172,745	372	146,425	562	319,170	626	295,452	-	-	626	295,452	634	255,082	-	0	634	255,082
Infrastructure Security Compliance	190	95,930	-	-	190	95,930	242	93,348	-	-	242	93,348	242	74,543	-	1	242	74,544
Regional Field Operations	-	-	137	64,211	137	64,211	152	57,367	-	-	152	57,367	140	56,498	-	-0	140	56,497
Sector Management and Governance	-	-	174	82,214	174	82,214	143	74,219	-	-	143	74,219	167	67,132	-	-	167	67,132
Infrastructure Analysis and Planning	-	76,815	61	-	61	76,815	89	70,518	-	-	89	70,518	85	56,909	-	-	85	56,909
Cybersecurity and Communications	186	363,053	18	1,891	204	364,944	358	443,176	-	-	358	443,176	436	769,004	-	0	436	769,004
Strategic Initiatives	28	56,766	-	4,458	28	61,224	-	-	-	-	-	-	-	-	-	-	-	-
Outreach and Programs	14	6,861	-	-580	14	6,281	-	-	-	-	-	-	-	-	-	-	-	-
Business Operations	-	-	-	-	-	-	33	11,568	-	-	33	11,568	33	6,227	-	-	33	6,227
Critical Infrastructure Cyber Protection and Awareness	-	-	-	-	-	-	28	60,000	-	-	28	60,000	38	62,763	-	0	38	62,763
Cybersecurity Coordination	-	-	-	-	-	-	14	4,500	-	-	14	4,500	14	3,995	-	-	14	3,995
Federal Network Security	-	-	-	-	-	-	42	35,000	-	-	42	35,000	69	236,014	-	-0	69	236,014
Global Cybersecurity Management	-	-	-	-	-	-	19	23,992	-	-	19	23,992	23	21,957	-	0	23	21,957
Network Security Deployment	-	-	-	-	-	-	72	229,000	-	-	72	229,000	82	345,046	-	-	82	345,046
US-CERT Operations	-	-	-	-	-	-	150	79,116	-	-	150	79,116	177	93,002	-	-	177	93,002
US Computer Emergency Readiness Team	144	299,426	18	-1,987	162	297,439	-	-	-	-	-	-	-	-	-	-	-	-
Communications	148	148,943	1	-	149	148,943	167	149,615	-	-	167	149,615	190	142,547	-	-	190	142,547
Priority Telecommunications Services	55	57,143	-	-	55	57,143	40	56,074	-	-	40	56,074	50	53,286	-	-	50	53,286
Next Generation Networks	-	20,986	-	-	-	20,986	1	25,253	-	-	1	25,253	2	20,000	-	-	2	20,000
Programs to Study & Enhance Telecommunications	24	16,164	-	-	24	16,164	28	13,441	-	-	28	13,441	33	19,594	-	-	33	19,594
Critical Infrastructure Protection	21	14,169	1	-	22	14,169	36	11,352	-	-	36	11,352	40	10,978	-	-	40	10,978
Office of Emergency Communications	48	40,481	-	-	48	40,481	62	43,495	-	-	62	43,495	65	38,689	-	-	65	38,689
<b>US-VISIT</b>	269	357,527	-	-	269	357,527	400	306,802	-	-	400	306,802	-	-	-	-	-	-
<b>Total</b>	<b>2,172</b>	<b>2,219,525</b>	<b>391</b>	<b>148,316</b>	<b>2,563</b>	<b>2,367,841</b>	<b>3,072</b>	<b>2,531,339</b>	<b>-</b>	<b>-</b>	<b>3,072</b>	<b>2,531,339</b>	<b>2,787</b>	<b>2,518,778</b>	<b>-</b>	<b>1</b>	<b>2,787</b>	<b>2,518,778</b>

### iii. Status of Congressionally Requested Studies, Reports, and Evaluations

#### Department of Homeland Security National Protection and Programs Directorate

<b>Fiscal Year</b>	<b>Due Date(s)</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2011	5/30/2011	P.L. 112-10	Provided, That the FY11 Expenditure Plan - US-VISIT required in Public Law 111-83 shall be updated for fiscal year 2011 budget authority and submitted to the Committees on Appropriations of the Senate and House of Representatives within 45 days after the date of enactment of this division, notwithstanding the specified with holding of funds and associated approval requirements.	In Progress
2011	10/4/2010	P.L. 109-295	With regards to the Emergency Communications Preparedness Center - Strategic Assessment, for 2010, (1) prepare and submit to Congress, on an annual basis, a strategic assessment regarding the coordination efforts of Federal departments and agencies to advance—(A) the ability of emergency response providers and relevant government officials to continue to communicate in the event of natural disasters, acts of terrorism, and other man-made disasters; and (B) interoperable emergency communications; (2) consider, in preparing the strategic assessment under paragraph (2), the goals stated in the National Emergency Communications Plan under section 1802;	Transmitted to DHS OLA January 2011.
2011	1/26/2011; 4/26/2011; 7/26/2011; 10/26/2011	P.L. 111-83; S. Rpt. 111-31	Provide quarterly progress reports on the agency's efforts to coordinate chemical security across departments, particularly in regard to ensuring the ability to conduct prompt and comprehensive Federal safety investigations of chemical accidents.	In Progress
2012	1/15/2012; 4/15/2012; 7/15/2012; 10/15/2012	Senate Report 112-74	Quarterly FY12 - Coordination of Chemical Security Efforts: The Deputy Secretary is directed to continue quarterly reporting to the Committee on these matters. The reports shall include an update on: the development of a more comprehensive picture of security issues at the Nation's chemical facilities; whether regulatory gaps exist that may pose an unacceptable security risk; and the identification and elimination of redundancies between current regulatory regimes. In addition, the quarterly updates shall include information on the Department's continuing efforts to determine whether and how to require MTSA-covered facilities that possess CFATS chemicals of interest to complete and submit CFATS Top-Screens. Finally, the report shall provide updates regarding the efforts with other Federal entities, such as the Federal Bureau of Investigation and the Transportation Security Administration, including specific milestones and agreements that will be reached to further coordinate chemical security efforts.	In Progress

<b>Fiscal Year</b>	<b>Due Date(s)</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2012	3/22/2012	P.L. 112-74	FY12 Expenditure Plan National Cyber Security : The Under Secretary for the National Protection and Programs Directorate shall submit a plan for expenditure for the National Cyber Security Division and the Office of Infrastructure Protection, to the Committees on Appropriations of the Senate and House of Representatives, not later than 90 days after enactment of this Act.	In Progress
2012	2/15/2012	P.L. 112-74	Information Sharing: With respect to sector cooperation, the Under Secretary for NPPD is to provide a report regarding the results of a review to streamline the processes for coordination and information sharing with industry partners.	In Progress
2012	2/6/2012	P.L. 112-74	Strategic Human Capital Plan: Statutory language is included requiring expenditure plans for the Office of Infrastructure Protection and the National Cyber Security Division. The plans shall include a description by PPA and line item with the associated costs subdivided by quarter. The plan shall provide sufficient detail on the items and services procured and the outcomes of those services or items.  Provided, That the Under Secretary for the National Protection and Programs Directorate shall submit a plan for expenditure for the National Cyber Security Division and the Office of Infrastructure Protection, to the Committees on Appropriations of the Senate and the House of Representatives, not later than 90 days after the date of enactment of this Act.	In Progress

Fiscal Year	Due Date(s)	Reference/Citation	Requirement	Status
2012	1/15/2012; 3/30/2012; 6/15/2012	P.L. 112-74	<p>Semiannual FY12 - Coordination of Chemical Security Efforts: The Deputy Secretary is directed to continue quarterly reporting to the Committee on these matters. The reports shall include an update on: the development of a more comprehensive picture of security issues at the Nation's chemical facilities; whether regulatory gaps exist that may pose an unacceptable security risk; and the identification and elimination of redundancies between current regulatory regimes. In addition, the quarterly updates shall include information on the Department's continuing efforts to determine whether and how to require MTSA-covered facilities that possess CFATS chemicals of interest to complete and submit CFATS Top-Screens. Finally, the report shall provide updates regarding the efforts with other Federal entities, such as the Federal Bureau of Investigation and the Transportation Security Administration, including specific milestones and agreements that will be reached to further coordinate chemical security efforts.</p> <p>(Statement of Managers) The Deputy Secretary is directed to submit reports on chemical security efforts to the Committees on Appropriations as directed in the Senate report. However, the reports shall be submitted on a semi-annual basis instead of quarterly with the first report due no later than March 30, 2012.</p>	In Progress
2012	3/23/2012	P.L. 112-74 p. 172, Conf Report 112-331 p. 946, House Report 112-91 p. 153	FY12 Expenditure Plan - Office of Infrastructure Protection: The Undersecretary for NPPD shall submit a plan for expenditure for the Office of Infrastructure Protection	In Progress
2012	3/23/2012	Conf Report 112-331 p. 985, Senate Report 112-74 p. 107	RMA transfer notification & plans: RMA transfer of up to \$4,241,000 to the DHS Office of Policy. The Committees must receive the notification for such a transfer no later than 90 days after the date of enactment of this Act. Further, no later than the date upon which the notification is submitted, the Secretary shall provide to the Committees a plan identifying and justifying the specific risk modeling, analysis, and strategic planning functions of value and use to the Department and its individual components.	In Progress

<b>Fiscal Year</b>	<b>Due Date(s)</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2012	2/23/2012 (NPPD) (GAO) 60 days after receipt	Conf Report 112-331 pg 986, Senate Report 112-74 p. 108	Infrastructure Protection Sector Coordination: The Committee directs NPPD to provide a report to the Committee no later than 60 days after the date of enactment of this act on the results from a thorough review of all efforts related to coordinating and executing plans; implementing performance metrics; sustaining systemic communication; executing Sector-Specific Agency functions; and providing education, training and outreach. Further, the Committee directs GAO to review the results of the NPPD report and related efforts of the streamlining process no later than 60 days after receiving the report to determine the extent to which they were designed to ensure mission clarity; useful and actionable work products; efficacy of planning and information sharing; and that cost savings are achieved where possible.	In Progress
2012	No specific date	Conf Report 112-331 p. 986, House Report 112-91 p. 93	Infrastructure Protection will be required to provide a report on the impact of inherently safer technology (IST) requirements on chemical facilities under the purview of the CFATS program. The report will detail: the DHS definition of IST; the cost to DHS to implement and oversee statutory or regulatory requirements; the financial and economic cost to the facilities required to implement such requirements; and unintended consequences of implementing IST related to security and effects on other Federal agencies.	In Progress
2012	3/23/2012	P.L. 112-74 p. 172, Conf Report 112-331 p. 986, House Report 112-91 p. 153	FY12 Expenditure Plan - National Cyber Security Division : The Undersecretary for NPPD shall submit a plan for expenditure for the National Cyber Security Division	In Progress
2012	No specific date	Senate Report 112-74 p. 109	Joint federal cyber investments: Program investments to date by DOE, DOD, NIST, and NSF	In Progress
2012	6/23/2012	Senate Report p. 111	Emergency Communications : Progress made since 9/11	In Progress
2012	2/6/2012	P.L. 112-74 ; House Report 112-91	FY12 Expenditure Plan - United States Visitor and Immigrant Status Indicator Technology (US-VISIT): \$50,000,000 may not be obligated for the United States Visitor and Immigrant Status Indicator Technology program until the Secretary of Homeland Security submits to the Committess on Appropriations of the Senate and House of Representatives at the time that the President's budget is submitted each year under section 1105(a) of title 31, United States Code, a multi-year investment and management plan, to include each fiscal year starting with the current fiscal year, and the following 3 fiscal years	In Progress

<b>Fiscal Year</b>	<b>Due Date(s)</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2012	12/31/2011	P.L. 112-74	FPS - Security and Protection Responsibilities Expenditure Plan : The Secretary of DHS and the Director of OMB shall certify in writing to the Committees on Appropriations of the Senate and House of Representatives not later than December 31, 2011, that the operations of the Federal Protective Services (FPS) will be fully funded in fiscal year 2012 through revenues and collection of security fees, and shall adjust the fees to ensure fee collections are sufficient to ensure that the FPS maintains not fewer than 1,371 full time equivalent staff and 1,007 full-time equivalent Police Officers, Inspectors, Area Commanders, and Special Agents who, while working, are directly engaged on a daily basis protecting and enforcing laws at Federal buildings.	In Progress
2012	2/21/2012	P.L. 112-74	FY12 FPS - Security and Protection Responsibilities Expenditure Plan : An expenditure plan for fiscal year 2012 shall be provided to the Committees on Appropriations of the Senate and the House of Representatives not later than 60 days after the date of enactment of this Act.	In Progress
2012	2/23/2012	PL 112-74 p. 173, Conf Report 112-331 p. 987	FY12 Expenditure Plan for the Federal Protective Service: Provided, That an expenditure plan for FY 2012 shall be provided to the Committees not later than 60 days of enactment	In Progress
2012	2/06/2012 (NPPD) (GAO) 60 days after receipt	PL 112-74 p. 173, Conf Report 112-331 p. 987	FPS Strategic Human Capital Plan: Provided, That the Director of the Federal Protective Service shall include with the submission of the President's FY 2013 budget a strategic human capital plan that aligns fee collections to personnel requirements based on a current threat assessment. In addition, the Committee directs GAO to report to the Committee within 60 days after the receipt of the plan on its validity.	In Progress
2012	2/23/2012 (NPPD) 6/23/2012 (GAO)	Senate Report 112-74 p. 113	FPS assume security from other agencies: FPS is directed to submit to the Committees and to GAO, within 60 days of enactment, the proposed plan to assume security and protection responsibilities from agencies that currently hold delegated authority...The Committee directs GAO to review this issue and develop a set of recommendations for consideration by the Congress...GAO shall report to the Committees within 180 days of enactment	In Progress
2012	12/31/2011	PL 112-74 p. 172, Conf Report 112-331 p. 987	Certify that the operations of the Federal Protective Service will be fully funded in FY 2012 through revenues and collection of security fees: Provided, That the Secretary of DHS and Director of OMB shall certify in writing to the Committees not later than Dec 31, 2011, that the operations of the Federal Protective Service will be fully funded in FY 2012 through revenues and collection of security fees, and shall adjust the fees to ensure fee collections are sufficient to ensure that FPS maintains not fewer than 1,371 full-time equivalent staff and 1,007 full-time equivalent Police Officers, Inspectors, Area Commanders, and Special Agents	In Progress

**iv. Schedule of Authorized and Unauthorized Appropriations**

**Department of Homeland Security  
National Protection and Programs Directorate**

(Dollars in Thousands)

<b>Budget Activity</b>	<b>Last Year of Authorization</b>	<b>Authorized Level</b>	<b>Appropriation in Last Year of Authorization</b>	<b>FY 2013 Request</b>
	<b>Fiscal Year</b>	<b>Amount</b>	<b>Amount</b>	<b>Amount</b>
Directorate Administration	N/A	N/A	N/A	50,321
Infrastructure Security and Communications	N/A	N/A	N/A	1,166,633
Identification Analysis and Planning				56,909
Sector Management and Governance				67,132
Regional Field Operations				56,498
Infrastructure Security Compliance				74,543
Cybersecurity Coordination				3,995
US-Computer Emergency Readiness Team (US-CERT) Operations				93,002
Federal Network Security				236,014
Network Security Deployment				345,046
Global Cybersecurity Management				21,957
Critical Infrastructure Cyber Protection and Awareness				62,763
Business Operations				6,227
Priority Telecommunications Service				53,286
Next Generation Network				20,000
Programs To Study and Enhance Telecommunications				19,594
Critical Infrastructure Protection Program				10,978
Office of Emergency Communications				38,689
Federal Protective Service	N/A	N/A	N/A	1,301,824
<b>Total Direct Authorization/Appropriation</b>				<b>2,518,778</b>



# Department of Homeland Security

*National Protection & Programs Directorate  
Management and Administration*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **National Protection & Programs Directorate Management and Administration**

## **I. Appropriation Overview**

### **A. Mission Statement for Salaries and Expenses:**

The Department of Homeland Security (DHS) National Protection and Programs Directorate (NPPD) Management and Administration (M&A) appropriation provides Directorate leadership and management, coordination of Directorate activities with DHS Headquarters and Components, and program oversight and mission support services. NPPD M&A leads and coordinates Directorate activities to reduce the risk to the Nation's critical physical and cyber infrastructure.

### **Budget Activities:**

Major program activities include Directorate Administration.

### **Directorate Administration**

Directorate Administration provides management and oversight of NPPD programs. It consists of: Office of the Under Secretary, which includes the Office of the Chief Administrative Officer; Office of Human Resources Management; Budget, Finance, and Acquisitions; Information Management and Disclosure; Office of Compliance and Security; Office of Communications and Public Affairs; Office of Information Technology; Office of Privacy.; Pursuant to the FY 2012 Appropriations Bill the Office of the Assistant Secretary for Cybersecurity and Communications and Office of the Assistant Secretary for Infrastructure Protection have been moved from the Information Security and Infrastructure Protection appropriation to Management and Administration. This includes the full range of business support services to ensure that programs operate effectively, as well as oversight responsibility to direct program policy and strategy, prioritize and determine resource allocation across programs, and oversee effective program execution.

### **Budget Request Summary:**

NPPD requests 248 FTP/248FTE, and \$50.321 million for FY 2013.

### **Program Changes**

N/A

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Management and Administration**  
 Summary of FY 2013 Budget Estimates by Program/Project/Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012 <sup>1</sup>			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Directorate Administration	148	148	34,445	204	203	46,454	248	248	50,321	44	45	3,867	-	-	-	44	45	3,867
Risk Management & Analysis	36	36	8,851	39	39	4,241	-	-	-	(39)	(39)	(4,241)	-	-	-	(39)	(39)	(4,241)
<b>Total, Management and Administration</b>	<b>184</b>	<b>184</b>	<b>43,296</b>	<b>243</b>	<b>242</b>	<b>50,695</b>	<b>248</b>	<b>248</b>	<b>50,321</b>	<b>5</b>	<b>6</b>	<b>(374)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5</b>	<b>6</b>	<b>(374)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>184</b>	<b>184</b>	<b>43,296</b>	<b>243</b>	<b>242</b>	<b>50,695</b>	<b>248</b>	<b>248</b>	<b>50,321</b>	<b>5</b>	<b>6</b>	<b>(374)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5</b>	<b>6</b>	<b>(374)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>184</b>	<b>184</b>	<b>43,296</b>	<b>243</b>	<b>242</b>	<b>50,695</b>	<b>248</b>	<b>248</b>	<b>50,321</b>	<b>5</b>	<b>6</b>	<b>(374)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>5</b>	<b>6</b>	<b>(374)</b>

<sup>1</sup> RMA funding will be transferred to the DHS Office of Policy in FY 2012.

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Management and Administration**  
**Directorate Administration**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Directorate Administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>148</b>	<b>148</b>	<b>34,445</b>
<b>2012 Enacted Budget Authority</b>	<b>204</b>	<b>203</b>	<b>46,454</b>
2013 Adjustments-to-Base	44	45	3,867
<b>2013 Current Services</b>	<b>248</b>	<b>248</b>	<b>50,321</b>
<b>2013 Total Requested Budget Authority</b>	<b>248</b>	<b>248</b>	<b>50,321</b>
Total Change 2012 to 2013	44	45	3,867

The National Protection and Programs Directorate (NPPD) requests \$50.321 million and 248 positions/ 248 FTE for Directorate Administration. The request includes:

- Increase of \$0.101 million for the FY 2013 pay increase
- Increase of \$0.042 million in GSA rent inflation
- Decrease of \$0.039 million as a partial offset to pay inflation
- Decrease of \$0.500 million in management efficiencies
- Decrease of \$0.394 million due to contract efficiency

**CURRENT SERVICES PROGRAM DESCRIPTION**

***Office of the Under Secretary (OUS)***

The Office of the Under Secretary provides Directorate leadership and management and coordinates activities throughout the Directorate. OUS continuously reviews program activities and performance, and works to ensure that they are executed effectively and efficiently. OUS also provides a range of mission support services.

In FY 2013, NPPD will continue its transition to an operational Component. As part of this process, NPPD will centralize lines of business and streamline management functions, thus improving business support to programs and improving oversight.

This transition is critical to NPPD’s mission success. While cyber and infrastructure requirements are increasing, OUS’ funding has remained stagnant. Personnel-related costs comprise the vast majority of the FY 2013 Budget, as shown below.

<b>Directorate Administration</b>	<b>FY 2013</b>
Salaries and Benefits	\$ 35,967
Working Capital Fund	\$ 7,072
Contractual Support to Programs	\$ 7,282
<b>Total Funding (\$000)</b>	<b>\$ 50,321</b>

OUS consists of several offices and functions:

***Cyber + Strategy (C+S)***

C+S leads NPPD’s policy and strategic planning efforts by providing critical analytical support and strategic direction to NPPD programs and advises Leadership on cybersecurity matters. C+S efforts consist of the following activities and elements:

- *Cybersecurity Strategy Team* - Develops the overarching cybersecurity strategy for the Directorate. The team will hold a series of engagements with the Critical Infrastructure Partnership Advisory Council partners to include the Cross-Sector Cybersecurity Working Group, Government Coordinating Council, Sector Coordinating Council, and Partnership for Critical Infrastructure Security.
- *NPPD Strategy and Planning* – Develops the NPPD strategic plan, which includes performance objectives, measures, and milestones to drive program strategy to maximize risk reduction in priority mission areas across the Directorate. The Strategy and Planning Team plays an integral part of the overarching strategic planning for NPPD and Cyber + Strategy as the central coordinator for many current priorities including NPPD workforce planning, core staffing analysis, and planning of the operationalization transition.
- *The National Cybersecurity Awareness Campaign* - The National Cybersecurity Awareness Campaign is an Administration initiative led by DHS. The Stop.Think.Connect.™ Campaign is an ongoing cybersecurity awareness campaign to help Americans understand the risks that come with being online. The Campaign is part of an unprecedented effort among Federal and State governments, industry, and nonprofit organizations. Through these partnerships, Stop.Think.Connect.™ is reaching thousands of Americans, providing tips on how to protect themselves, their families, and the Nation.
- *Integrated Analysis Task Force (IATF)* – The NPPD IATF is a collaborative planning effort designed to (1) draw on expertise from all five NPPD subcomponents to improve NPPD-wide analytic and modeling capabilities. The task force will help NPPD subcomponents to better empower their private and public sector partners to make informed risk management investments and to help them “build” resilience into their critical infrastructure systems over time. Successful integration and standup of the IATF enhances NPPD’s analytic capabilities

and leadership not only within DHS but also across the Federal Government and with its State, local, tribal, and private sector partners.

### ***Office of Budget, Finance, and Acquisitions (BFA)***

BFA supports the NPPD mission by conducting financial management and oversight, by developing and enforcing fiscal services. BFA consists of the following activities and elements:

- *Requirements and Capabilities Planning* – Reviews program capabilities and requirements against NPPD leadership objectives to ensure the Directorate is pursuing the most critical capabilities to achieve its mission, and developing those capabilities in the most effective and efficient manner. This function drives resource allocation in a strategic manner across the Directorate.
- *Budget Formulation* - Assists programs in the development of resource requests, develops program funding levels based on NPPD Leadership direction (the output of Requirements and Capabilities Planning) and cost analysis, and builds and justifies funding requests to resource mission needs.
- *Budget Execution* – Responsible for the workflow and funds control process to ensure that resources are available when needed, do not exceed authorized levels, and are used in accordance with law and congressional intent.
- *Performance Management* – Constitutes the Component Performance Improvement Officer function, and includes managing internal and external performance management requirements, and the collection, analysis, monitoring, and reporting of performance data.
- *Financial Operations* - Responsible for the overall accounting operations of NPPD and ensuring that the Directorate meets financial execution and accounting requirements in support of DHS's centralized financial management program. Functions include commitment/obligations input and tracking, travel and purchase card processing, status of funds monitoring, and payroll reconciliation.
- *Financial Systems Reporting* - Responsible for the preparation and submission of financial reports to DHS and to the Immigration and Customs Enforcement (ICE) Chief Financial Officer (CFO). Works closely with the ICE CFO to monitor and reconcile Treasury Information Executive Repository reports and to provide analysis to validate accuracy of data. Responsible for the development and monitoring of NPPD internal control programs.
- *Internal Controls* - Responsible for developing and implementing NPPD's internal controls program. Working in conjunction with the DHS financial management staff, the internal controls office manages the annual audit of financial statements, coordinates testing and corrective actions to improve improper payments, and coordinates the review of internal controls as required by OMB Circular A-123.
- *Acquisition Management and Oversight* - Reviews and monitors NPPD's acquisition programs, ensures compliance with Federal and DHS acquisition regulations, and ensures effective and efficient acquisition of material solutions. The Director of BFA serves as the Component Acquisition Executive.
- *Procurement Operations* - Reviews and tracks NPPD contracts and other purchases and establishes and manages procurement procedures across NPPD. This office also represents NPPD procurement activities and interests to the DHS Office of the Chief Procurement Officer.
- *Regulatory and Economic Analysis* - Ensures NPPD guidance and regulatory actions consider alternatives and impacts. Ensures regulatory analyses are completed following the

requirements of statute, executive order, and the Office of Management and Budget (OMB) policy. Provides leadership with economic impact analysis related to NPPD programs and activities.

### ***Office of the Chief Administrative Officer (OCAO)***

OCAO provides operational services for facilities maintenance and leasing, personal property management, fleet management, environmental planning and execution, logistics management, and management for various NPPD wide administrative functions. OCAO consists of the following activities and elements:

- *Facilities* - Responsible for facilities; property, environmental, and logistics support; facility space planning; rent; procurement; and oversight of facilities support services.
- *Assets and Property* - Records Directorate property, manages the fleet of GSA-owned vehicles, and documents property records and disposal.
- *Administrative Support* – Provides services ranging from mail management to transit benefit management to flu shot distribution for the Directorate.

### ***Office of Human Resources Management (OHRM)***

OHRM is responsible for leading the office that classifies positions, recruits, determines pay and compensation, and hires and on-boards new personnel. In addition, the office provides guidance to and processes actions for all NPPD managers and employees in the areas of performance management, awards, payroll, and benefits, as well as in employee and labor relations. OHRM also includes:

- *Professional Development and Training* – Assesses, designs, develops, implements, and evaluates training designed to address needed workforce skills, competencies, and certifications, so that NPPD employees are provided with training and professional development/educational programs that enhance and support their positions.
- *Employee and Labor Relations* - Leads, assists, and represents management in its efforts to address employee conduct, performance, and labor-management relations matters in a manner that promotes the development and retention of a high-performing workforce.

### ***Office of the Chief Information Officer (OCIO)***

OCIO drives NPPD information technology (IT) strategic planning by ensuring that systems and processes are integrated and consistent with the DHS Chief Information Office requirements and overarching Departmental goals and objectives. In addition, OCIO evaluates new technology and advises NPPD leadership as to how IT solutions might offer opportunities and options to support the successful implementation of policy decisions and organizational goals and objectives. OCIO approves, oversees, and monitors IT investment requests for NPPD subcomponent programs. OCIO provides governance and oversight over DHS enterprise architecture processes and objectives, and IT security policies. Finally, OCIO and staff serve as the NPPD representatives on various Departmental planning, oversight, leadership, and council committees sponsored by the DHS Chief Information Office.



### ***Office of Compliance and Security (OCS)***

OCS provides a safe and secure work environment and promotes organizational excellence, integrity, and accountability to stakeholders.

- *Compliance Investigations* - Investigates and coordinates with component management on administrative inquiries of allegations of employee misconduct allegations designated to NPPD for action by the DHS Office of Inspector General (OIG). Manages NPPD case intake for alleged misconduct and coordinates action with DHS OIG. Engages closely with OIG, NPPD Employee and Labor Relations (E&LR), Office of General Counsel (OGC), and component management, as required.
- *Security Programs* - Responsible for Physical Security (in coordination with the Federal Protective Service (FPS)), Information Security, Education and Awareness, Special Security Programs, i.e., Sensitive Compartmented Information Facility (SCIF), Single Sign-On (SSOs), and Electronic Countermeasures.
- *Personnel Security* - Provides personnel security support to NPPD and the large number of contractors supported by FPS. Functions include National Security Information security clearances (to include SCI), suitability determinations, Homeland Security Presidential Directive (HSPD)-12 checks and credentialing, adjudications, appeals, and due process.
- *Program Review and Evaluation* - Plans, coordinates, and provides headquarters-level oversight of program evaluations to measure operations against best practices and objective criteria to determine if the programs and operations are effective and efficient, achieve the desired results, and/or operate in accordance with laws and regulations. Also manages the NPPD Self-Inspection Program.
- *Counterintelligence and Internal Security*: Detect, deter and neutralize external and insider threats to NPPD programs and activities through assessments and education of NPPD employees, contractors and foreign nationals.

### ***Office of Communications and Public Affairs***

The Office of Communications and Public Affairs is the nexus for all NPPD communications, outreach, and awareness. The Office of Communications and Public Affairs is comprised of three branches: Internal Communications, External Communications, and Strategic Communications.

The Office of Communications and Public Affairs plays a lead role in developing and approving all correspondence and messaging intended for external or internal outreach or distribution. The Office of Communications and Public Affairs develops communications strategies and action plans to promote Directorate programs and activities, including the development and posting of content for all NPPD pages on the intranet site (DHSOnline.gov) and on the Department's external website (DHS.gov).

### ***Office of Information Management and Disclosure***

The Office of Information Management and Disclosure is responsible for managing and improving external communications for NPPD. Information Management and Disclosure is comprised of the Executive Secretariat, Freedom of Information Act (FOIA), Records Management, and Audit Liaison functions.

- *Executive Secretariat* - Serves as the central processing point for formal documents and taskers sent to/from NPPD.
- *FOIA* - Works in concert with the Departmental FOIA/Privacy Office, which serves as the steward of Section 222, the responsibilities of the Chief Privacy Officer, of the Homeland Security Act, the Privacy Act of 1974, the FOIA, the E-Government Act of 2002, and the numerous laws, Executive Orders, court decisions, and Departmental policies that protect the collection, use, and disclosure of Departmental and personal information.
- *Records Management* - Provides leadership and direction for the NPPD records management program. Develops an overall records management strategy producing the policy, procedures, and guidance necessary to implement that program, develops policies and guidance on the application of technology to records management, and coordinates the program within and outside of NPPD overall.
- *Audit Liaison* - Serves as a liaison among external Departmental offices, the Government Accountability Office (GAO), OIG, and NPPD offices for all audit activities undertaken by either GAO or OIG. Activities include work with NPPD components and GAO or OIG to facilitate entrance/exit conferences, fieldwork, release of draft and final reports, and recommendation follow-up.

### ***Office of Privacy***

The Office of Privacy is responsible for developing internal policies to protect personal privacy, promoting awareness of and compliance with privacy requirements, and ensuring that NPPD technology systems have appropriate privacy protections in place.

### ***Office of the Assistant Secretary for CS&C***

The Office of the Assistant Secretary for CS&C manages cyber and communications policy initiatives and mission activities collaborations occurring across the United States Government. This staffing serves as a critical link to external stakeholders, OMB, and Congress. The requested salaries and support allow centralized resource allocation and outreach efforts with intergovernmental, international, private sector, and other stakeholders, in addition to providing staffing and oversight of the following functional areas: Strategic Planning and Policy, Mission Integration, External Affairs, Human Capital, Budget and Finance, Acquisitions and Procurement, Continuity of Government, and Facility Planning. With OUS and Assistant Secretary funds appropriated together in the M&A account beginning in FY2012, NPPD will be coordinating – and combining where possible – these functions to more efficiently manage and oversee NPPD programs.

### *Office of the Assistant Secretary for Infrastructure Protection*

The Office of the Assistant Secretary for Infrastructure Protection represents a centralized locus for Infrastructure Protection (IP) mission support, including IP document and information management, human resources, budgeting, acquisition/procurement, security, facilities, planning, performance management, resource execution, policy, and legislative affairs. OASIP provides oversight while coordinating with external organizations—both national and international—to address the implications of the critical infrastructure global risk environment, in order to develop and implement specific strategic guidance and policies for U.S. and international critical infrastructure protection and resilience.

OASIP establishes and oversees management controls and a comprehensive governance structure to improve the planning, execution, and reporting activities performed within IP to manage major initiatives, drive mission accomplishments, and allocate resources that are consistent with approved organizational goals. OASIP has established feedback loops—such as the Critical Infrastructure Risk Management Enhancement Initiative—that adjust IP efforts and resources to where they are needed most.

With OUS and Assistant Secretary funds appropriated together in the M&A appropriation beginning in FY2012, NPPD will be coordinating – and combining where possible – these functions to more efficiently manage and oversee NPPD programs.

**Department of Homeland Security  
National Protection & Programs Directorate  
Management and Administration  
Risk Management & Analysis  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Risk Management & Analysis**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>36</b>	<b>36</b>	<b>8,851</b>
<b>2012 Enacted Budget Authority</b>	<b>39</b>	<b>39</b>	<b>4,241</b>
2013 Adjustments-to-Base	(39)	(39)	(4,241)
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	(39)	(39)	(4,241)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The funding to support the RMA program was transferred in FY 2012 to the DHS Office of Policy and includes 23 FTE. The remaining 16 FTE will be absorbed into other areas of NPPD.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For salaries and expenses of the Office of the Under Secretary for the National Protection and Programs Directorate, support for operations[,] and information technology, [and the Office of Risk Management and Analysis, [\$50,695,000]] \$50,321,000: Provided, That not to exceed \$4,250 shall be for official reception and representation expenses[: Provided further, That, subject to section 503 of this Act, the Secretary of Homeland Security may transfer up to \$4,241,000 to the Office of Policy under the heading Departmental Management and Operations ``Office of the Secretary and Executive Management" for activities related to risk management and analysis: Provided further, That in the preceding proviso notification shall take place not later than 90 days after the date of enactment of this Act: Provided further, That any funds not transferred pursuant to the penultimate proviso shall be available solely to close out the Office of Risk Management and Analysis not later than September 30, 2012, and shall not be available for further transfer or reprogramming pursuant to section 503 of this Act].

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security  
National Protection & Programs Directorate  
Management and Administration  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>184</b>	<b>184</b>	<b>43,296</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>243</b>	<b>242</b>	<b>50,695</b>
RMA Transfer to Policy	(23)	(23)	(4,241)
<b>FY 2012 Enacted Budget Authority including RMA Transfer</b>			<b>46,454</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
IPIS transfer to Centralize IP Business Support Functions	4	4	4,657
<b>Total, Transfers</b>	<b>(19)</b>	<b>(19)</b>	<b>4,657</b>
<b>Increases</b>	-	-	-
2013 Pay Increase	-	-	101
Annualization of Prior Year Part Year Funding	-	1	-
DHS Balanced Workforce Strategy	40	40	-
GSA Rent	-	-	42
<b>Total, Increases</b>	<b>40</b>	<b>41</b>	<b>143</b>
<b>Decreases</b>	-	-	-
Asst. Sec. IP Contract Efficiency	-	-	(394)
Closure of RMA Pursuant to P.L. 112-74	(16)	(16)	-
Management Efficiency	-	-	(500)
Partial Offset to Pay Inflation	-	-	(39)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(933)</b>
<b>Total, Adjustments-to-Base</b>	<b>(16)</b>	<b>(16)</b>	<b>(374)</b>
<b>FY 2013 Current Services</b>	<b>248</b>	<b>244</b>	<b>50,321</b>
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	<b>248</b>	<b>248</b>	<b>50,321</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>5</b>	<b>6</b>	<b>(374)</b>

### C. Summary of Requirements

**Department of Homeland Security  
National Protection & Programs Directorate  
Management and Administration  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	184	184	43,296
<b>FY 2012 Enacted Budget Authority</b>	243	242	50,695
<b>Adjustments-to-Base</b>	-	-	-
Transfers	(19)	(19)	416
Increases	24	25	143
Decreases	-	-	(933)
<b>Total, Adjustments-to-Base</b>	5	6	(374)
<b>FY 2013 Current Services</b>	248	248	50,321
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	248	248	50,321
<b>FY 2012 to FY 2013 Total Change</b>	5	6	(374)

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Directorate Administration	204	203	46,454	44	45	3,867	-	-	-	248	248	50,321	44	45	3,867
Risk Management & Analysis	39	39	4,241	(39)	(39)	(4,241)	-	-	-	-	-	-	(39)	(39)	(4,241)
<b>Total</b>	243	242	50,695	5	6	(374)	-	-	-	248	248	50,321	5	6	(374)

- RMA funding will be transferred to the DHS Office of Policy in FY 2012.
- FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$0.097 million, pursuant to P.L. 112-74.



**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
National Protection & Programs Directorate  
Management and Administration**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	16,198	26,513	26,613	100
11.3 Other than full-time permanent	965	1,343	1,343	-
11.5 Other personnel compensation	421	271	271	-
12.1 Benefits	4,727	7,708	7,740	32
<b>Total, Personnel and Other Compensation Benefits</b>	<b>22,311</b>	<b>35,835</b>	<b>35,967</b>	<b>132</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	291	202	190	(12)
22.0 Transportation of things	13	14	14	-
23.1 GSA rent	2,471	1,977	2,019	42
23.2 Other rent	9	-	-	-
23.3 Communications, utilities, and misc. charges	5	53	53	-
24.0 Printing	-	30	30	-
25.1 Advisory and assistance services	11,831	3,850	2,206	(1,644)
25.2 Other services	283	1,877	2,054	177
25.3 Purchases from Gov't accts.	5,333	5,992	6,923	931
25.4 O&M of facilities	7	35	35	-
25.7 Operation and maintenance of equipment	458	353	353	-
26.0 Supplies and materials	220	455	455	-
31.0 Equipment	64	22	22	-
<b>Total, Other Object Classes</b>	<b>20,985</b>	<b>14,860</b>	<b>14,354</b>	<b>(506)</b>
<b>Total, Direct Obligations</b>	<b>43,296</b>	<b>50,695</b>	<b>50,321</b>	<b>(374)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>43,296</b>	<b>50,695</b>	<b>50,321</b>	<b>(374)</b>
<b>Full-time Equivalents</b>	<b>184</b>	<b>242</b>	<b>248</b>	<b>6</b>

- RMA funding will be transferred to the DHS Office of Policy in FY 2012.
- Enacted Amount for FY 2011 = \$43.49 million

## F. Permanent Positions by Grade

**Department of Homeland Security  
National Protection & Programs Directorate  
Management and Administration  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	8	16	21	5
Total, EX	1	1	1	-
GS-15	36	59	49	(10)
GS-14	31	55	49	(6)
GS-13	44	54	60	6
GS-12	41	37	33	(4)
GS-11	17	18	22	4
GS-9	5	3	9	6
GS-7	-	-	1	1
GS-5	1	-	3	3
<b>Total Permanent Positions</b>	<b>184</b>	<b>243</b>	<b>248</b>	<b>5</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	184	243	248	5
Headquarters	184	242	248	6
<b>Total, Management and Administration</b>	<b>184</b>	<b>242</b>	<b>248</b>	<b>6</b>
<b>Full-time Equivalents</b>	<b>184</b>	<b>242</b>	<b>248</b>	<b>6</b>
Average ES Salary	169,032	165,668	171,648	5,980
Average GS Salary	106,322	104,658	101,794	(2,864)
Average Grade	14	14	14	-

\*RMA funding will be transferred to the DHS Office of Policy in FY 2012.

**G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
National Protection & Programs Directorate  
Management and Administration  
Risk Management & Analysis  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	3,549	3,127	-	(3,127)
11.3 Other than full-time permanent	209	184	-	(184)
11.5 Other personnel compensation	31	27	-	(27)
12.1 Benefits	1,025	903	-	(903)
<b>Total, Personnel and Compensation Benefits</b>	<b>4,814</b>	<b>4,241</b>	-	<b>(4,241)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	82	-	-	-
23.1 GSA rent	523	-	-	-
23.3 Communications, utilities, and misc. charges	2	-	-	-
25.1 Advisory and assistance services	2,148	-	-	-
25.2 Other services	60	-	-	-
25.3 Purchases from Gov't accts.	1,033	-	-	-
25.7 Operation and maintenance of equipment	111	-	-	-
26.0 Supplies and materials	36	-	-	-
31.0 Equipment	42	-	-	-
<b>Total, Other Object Classes</b>	<b>4,037</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>8,851</b>	<b>4,241</b>	-	<b>(4,241)</b>
<b>Full-time Equivalents</b>	<b>36</b>	<b>39</b>	-	<b>(39)</b>

### Risk Management & Analysis Mission Statement

Risk Management and Analysis (RMA) matures and strengthens the Homeland Security Enterprise by leading the Department's efforts to establish a common framework addressing the overall management and analysis of homeland security risk. RMA also leads and executes the Risk Assessment Process for Informed Decisionmaking, a strategic, all-hazard risk assessment. In addition, RMA provides tools, training, technical assistance, and accountability frameworks to enhance the risk management capabilities throughout the Department and its stakeholders.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	3,549	3,127	-	(3,127)
11.3 Other than full-time permanent	209	184	-	(184)
11.5 Other personnel compensation	31	27	-	(27)
12.1 Benefits	1,025	903	-	(903)
<b>Total, Salaries &amp; Benefits</b>	<b>4,814</b>	<b>4,241</b>	-	<b>(4,241)</b>

- RMA funding will be transferred to the DHS Office of Policy in FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Management and Administration**  
**Directorate Administration**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	12,649	23,386	26,613	3,227
11.3 Other than full-time permanent	756	1,159	1,343	184
11.5 Other personnel compensation	390	244	271	27
12.1 Benefits	3,702	6,805	7,740	935
<b>Total, Personnel and Compensation Benefits</b>	<b>17,497</b>	<b>31,594</b>	<b>35,967</b>	<b>4,373</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	209	202	190	(12)
22.0 Transportation of things	13	14	14	-
23.1 GSA rent	1,948	1,977	2,019	42
23.2 Other rent	9	-	-	-
23.3 Communications, utilities, and misc. charges	3	53	53	-
24.0 Printing	-	30	30	-
25.1 Advisory and assistance services	9,683	3,850	2,206	(1,644)
25.2 Other services	223	1,877	2,054	177
25.3 Purchases from Gov't accts.	4,300	5,992	6,923	931
25.4 O&M of facilities	7	35	35	-
25.7 Operation and maintenance of equipment	347	353	353	-
26.0 Supplies and materials	184	455	455	-
31.0 Equipment	22	22	22	-
<b>Total, Other Object Classes</b>	<b>16,948</b>	<b>14,860</b>	<b>14,354</b>	<b>(506)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,445</b>	<b>46,454</b>	<b>50,321</b>	<b>3,867</b>
<b>Full-time Equivalents</b>	<b>148</b>	<b>203</b>	<b>248</b>	<b>45</b>

**Directorate Administration Mission Statement**

The National Protection and Programs Directorate (NPPD) Directorate Administration includes the Office of the Under Secretary, which consists of: Office of the Chief Acquisitions Officer; Human Capital; Budget, Finance, and Acquisitions; Information Management and Disclosure; Office of Compliance and Security Communications; Office of Public Affairs; Office of Information Technology; the Office of Privacy; the Office of the Assistant Secretary for CS&C; and the Office of the Assistant Secretary for IP.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	12,649	23,386	26,613	3,227
11.3 Other than full-time permanent	756	1,159	1,343	184
11.5 Other personnel compensation	390	244	271	27
12.1 Benefits	3,702	6,805	7,740	935
<b>Total, Salaries &amp; Benefits</b>	<b>17,497</b>	<b>31,594</b>	<b>35,967</b>	<b>4,373</b>

FY 2013 includes \$35,967 for salaries and benefits for 248 FTE, which represents an increase of \$4,373 from FY 2012 Enacted due to the Balanced Workforce initiative, FY 2013 Pay Inflation, and the IPIS transfer to centralize business support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$209</b>	<b>\$202</b>	<b>\$190</b>	<b>-\$12</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 reflects a \$12 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,948</b>	<b>\$1,977</b>	<b>\$2,019</b>	<b>\$42</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2013 reflects a \$42 increase over the FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$9,683</b>	<b>\$3,850</b>	<b>\$2,206</b>	<b>-\$1,644</b>

Advisory and assistance services includes services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$1,644 decrease due to the Balanced Workforce initiative from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$223</b>	<b>\$1,877</b>	<b>\$2,054</b>	<b>\$177</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 represents an increase of \$177 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$4,300</b>	<b>\$5,992</b>	<b>\$6,923</b>	<b>\$931</b>

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents an increase of \$931 over FY 2012.



## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>107</b>	<b>184</b>	<b>242</b>
<b>Increases</b>			
FY 2012 Enacted transfer of Offices of A/S CS&C and IP	-	58	-
Annualization of prior year position	-	-	1
IPIS Transfer to centralize IP business support functions	-	-	4
Filled vacant positions	77	-	-
Balance Workforce Initiative	-	-	40
<b>Subtotal, Increases</b>	<b>77</b>	<b>58</b>	<b>45</b>
<b>Decreases</b>			
Closure of office pursuant to PL 112-74	-	-	(16)
RMA Transfer to DHS Office of Policy	-	-	(23)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(39)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>184</b>	<b>242</b>	<b>248</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>77</b>	<b>58</b>	<b>6</b>

\*RMA funding will be transferred to the DHS Office of Policy in FY 2012.

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Directorate Administration	\$5,161	\$5,874	\$7,072	\$1,198
Risk Management & Analysis	1,491	1,515	0	-1,515
<b>Total Working Capital Fund</b>	<b>6,652</b>	<b>7,389</b>	<b>7,072</b>	<b>-317</b>

\*RMA funding will be transferred to the DHS Office of Policy in FY 2012.

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience, and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment, the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

Management and Administration requests \$0.0 and 40 FTE for the FY 2013 DHS Balanced Workforce Strategy.

### **DHS Balanced Workforce Strategy**

- \$4,374,867 is needed to hire Federal employees in Directorate Administration.
- Contracts will be reduced by \$4,374,867 in Directorate Administration.
- Contractor functions will be reduced and positions will be converted in accordance with the Department's Balanced Workforce Initiative with a particular focus on contractors who are performing "nearly government inherent" responsibilities. Contractor reductions will be absorbed by the existing Government Employees and new FTE converted positions.

# Department of Homeland Security

*National Protection & Programs Directorate  
Infrastructure Protection and Information  
Security*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **National Protection & Programs Directorate Infrastructure Protection and Information Security**

## **I. Appropriation Overview**

### **A. Mission Statement for Infrastructure Protection and Information Security:**

Infrastructure Protection and Information Security (IPIS) seeks to understand and manage risk from natural disasters, terrorist attacks, or other disasters to the Nation's critical infrastructure and key resources (CIKR).

Infrastructure Protection (IP) programs accomplish the IPIS mission by assisting security partners with identifying and mitigating vulnerabilities; increasing preparedness for facilities, systems, and surrounding communities; and assessing the impact of risk mitigation efforts.

IPIS also seeks to create a safe and secure cyber environment and promote cybersecurity knowledge and innovation by: enabling Federal departments and agencies to address cybersecurity challenges; partnering with the private sector, military, and intelligence communities to mitigate vulnerabilities and threats to information technology assets; and facilitating collaboration and partnerships on cyber issues with public and private sector partners.

Finally, IPIS is responsible for maintaining effective telecommunications for Government users in national emergencies and for establishing policies and promoting solutions for interoperable communications at the Federal, State, and local levels.

### **B. Budget Activities:**

#### **Infrastructure Protection**

*Identification Analysis and Planning* – In FY 2013, NPPD requests \$56.909 million for the Identification Analysis and Planning program, including 89 full-time positions (FTP)/85 full-time equivalents (FTE). This represents a decrease of \$13.609 million from the FY 2012 Enacted level of \$70.518 million. The funding includes projects and activities that support the identification, prioritization, and protection of the Nation's CIKR, as well as the assessment of CIKR vulnerabilities, consequences, and risks. These activities provide a comprehensive inventory of the Nation's CIKR assets. The program collects vulnerability assessments and consequence information required to produce comprehensive asset and system risk assessments. These CIKR protection assessments enable the analysis of interdependencies and cascading effects. The program provides strategic coordination, capabilities analysis, and information sharing to public and private stakeholders, including local law enforcement agencies, to combat the improvised explosive device threat to the Homeland.

*Sector Management and Governance* – In FY 2013, NPPD requests \$67.132 million for the Sector Management and Governance program, including 194 FTP/167 FTE. This represents a decrease of \$7.087 million from the FY 2012 Enacted level of \$74.219 million. The funding includes projects and activities that increase the ability of all levels of government and private sector partners to assess risks, coordinate programs and processes, and execute risk mitigation programs and activities. They support public awareness efforts, facilitate the sharing of CIKR protection-related best practices and lessons learned, and enable infrastructure protection planning, readiness, and incident management. Sector Management and Governance is responsible for executing the National Infrastructure Protection Plan (NIPP) and coordinating the efforts of the 18 sectors to implement and execute their sector-specific plans.

*Regional Field Operations* – In FY 2013, NPPD requests \$56.497 million for the Regional Field Operations Programs, including 153 FTP/140 FTE. This represents a decrease of \$.870 million from the FY 2012 Enacted level of \$57.367 million. Funding for program areas includes voluntary projects and activities that enable security partners to: identify and mitigate vulnerabilities; implement protective measures and report on risk mitigation activities; and increase preparedness and resilience for facilities, systems, and surrounding communities. These activities foster information sharing and coordination between individual sector governance structures and facilitate the development of critical infrastructure partner governance and coordination structures.

*Infrastructure Security Compliance* – In FY 2013, NPPD requests \$74.544 million for the Infrastructure Security Compliance Programs, including 253 FTP/242 FTE. This represents a decrease of \$18.804 million from the FY 2012 Enacted level of \$93.348 million. Infrastructure Security Compliance is responsible for regulatory activities that coordinate and manage of the Department’s regulatory authority over high-risk chemical facilities and ammonium nitrate.

### **Cybersecurity and Communications**

*National Cyber Security Division (NCSD)* – NCSD works collaboratively with public, private, and international entities to secure cyberspace and America’s cyber assets. NCSD is comprised of the following PPAs:

*Cybersecurity Coordination* – In FY 2013, NPPD requests \$3.995 million for Cybersecurity Coordination programs, including 14 FTP/14 FTE. This represents a decrease of \$0.505 million from the FY 2012 Enacted level of \$4.500 million. The Cybersecurity Coordination program integrates information from the six Federal cybersecurity centers to provide a fused view of cyber activity across the intelligence, defense, civil, and law enforcement/counterintelligence domains. The program supports operational activities to facilitate integration and activities at the Federal centers, an information system for online collaboration, and information technology (IT) support and enterprise capability for the centers. Cybersecurity Coordination also supports an increased number of private sector partners present in the National Cybersecurity and Communications Integration Center (NCCIC) environment.

*United States Computer Emergency Readiness Team (US-CERT Operations)* – In FY 2013, NPPD requests \$93.002 million for US-CERT Operations programs, including 188 FTP/177 FTE. This represents an increase of \$13.886 million and 23 FTP/27 FTE above the FY 2012 Enacted level of \$79.116 million. As the operational arm of NCSA, US-CERT leads and coordinates efforts to improve the Nation’s cybersecurity posture, to promote cyber information sharing, and to manage cyber risks to the Nation. As part of that mission, US-CERT analyzes and mitigates cyber threats and vulnerabilities; disseminates cyber threat warning information; coordinates with partners and customers to achieve shared cyber situational awareness of the Nation’s cyber critical infrastructure; provides response and recovery support for national assets; and advises on national-level cybersecurity policy and guidance. US-CERT encompasses the activities that provide immediate customer support and incident response, including 24-hour support in the NCCIC.

*Federal Network Security* – In FY 2013, NPPD requests \$236.014 million for Federal Network Security programs, including 69 FTP/69 FTE. This represents an increase of \$201.014 million and 16 FTP/27 FTE above the FY 2012 Enacted level of \$35.000 million. Of these resources, \$202.046 million will be used for improving the cyber security posture of Federal civilian cyber networks. Federal Network Security manages activities designed to enable Departments and agencies to secure their systems and networks. It provides a single, accountable focal point for achieving cyber infrastructure security and compliance throughout the Federal enterprise.

*Network Security Deployment* – In FY 2013, NPPD requests \$345.046 million for Network Security Deployment programs, including 91 FTP/82 FTE. This represents an increase of \$116.046 million and 18 FTP/10 FTE above the FY 2012 Enacted level of \$229.000 million. Network Security Deployment manages the National Cybersecurity Protection System (NCPS), operationally known as EINSTEIN. NCPS is an integrated intrusion detection, analytics, information sharing, and intrusion prevention system that utilizes hardware, software, and other components to support DHS responsibilities within the Comprehensive National Cybersecurity Initiative (CNCI) mission.

*Global Cybersecurity Management* – In FY 2013, NPPD requests \$21.957 million for Global Cybersecurity Management programs, including 23 FTP/23 FTE. This represents a decrease of \$2.035 million below and an increase of 0 FTP/4 FTE above the FY 2012 Enacted level of \$23.992 million. Global Cyber Security Management provides and facilitates access to training and education for cybersecurity professionals. This includes developing a common approach for Federal cyber education and development and ensuring that education and training keeps pace with technological changes. Global Cybersecurity Management also supports academic centers to invigorate the pipeline of talented cybersecurity professionals available for current and future employment. Finally, the program works to manage risks from the global information and communications technology supply chain through awareness, policies, and standards and practices.



*Critical Infrastructure Cyber Protection & Awareness* – In FY 2013, NPPD requests \$62.763 million for Critical Infrastructure Cyber Protection and Awareness programs, including 39 FTP/38 FTE. This represents an increase of \$2.763 million and 2 FTP/10 FTE above the FY 2012 Enacted level of \$60.000 million. Critical Infrastructure Cyber Protection and Awareness collaborates with the public and private sectors to assess and mitigate risk to the Nation’s cyber critical infrastructure and key resources and promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues.

*Business Operations* – In FY 2013, NPPD requests \$6.227 million for Business Operations programs, including 33 FTP/33 FTE. This represents a decrease of \$5.341 million from the FY 2012 Enacted level of \$11.568 million. Business Operations ensures that NCS has access to the appropriate resources to fulfill its mission. The program does so by resource and financial management, human capital activities, facilities management, performance management, policy development and implementation, information and personnel security, and strategic planning. The Business Operations program works to ensure these activities are integrated to sustain overall cybersecurity strategies, mission operational support, and short/long-term planning.

*Office of Emergency Communications (OEC)* – In FY 2013, NPPD requests \$38.689 million for OEC, including 65 FTP/65 FTE. This represents a decrease of \$4.806 million to the FY 2012 Enacted level of \$43.495 million. OEC drives the development of emergency communications capabilities (operability, interoperability, and continuous communications) at all levels of government and across all public safety disciplines. To do so, OEC identifies and assesses interoperable emergency communications capabilities and drives Federal grants to meet emergency responder requirements and needs. OEC also engages with State, local, and tribal stakeholders to deliver targeted technical assistance and gather stakeholder input on policies, guidance, and initiatives. Additionally, OEC drives Federal emergency communications efficiencies through strategic planning, aligning grants, developing common investment and infrastructure planning approaches, representing Federal users on national-level policy and standards issues, and coordinates between domestic and international stakeholders along the borders.

*National Communications System (NCS)* —NCS assists the Executive Branch and partners in the exercise of the telecommunications functions and responsibilities and the coordination of the planning for and provision of national security and emergency preparedness communications for the Federal Government in all circumstances. NCS is comprised of the following PPAs:

*Priority Telecommunications Service (PTS)* – In FY 2013, NPPD requests \$53.286 million for PTS program, including 50 FTP/50 FTE. This represents a decrease of \$2.788 million from the FY 2012 Enacted of \$56.074 million. The PTS PPA leverages the Nation’s public telephone networks, including cellular systems, to enable voice communications for response and recovery coordination efforts and ensuring that

essential government functions and operations are maintained during a disaster. PTS accomplishes this by maintaining services that provide National Security/Emergency Preparedness voice telecommunications for the government and its industry organizations during times when networks are congested or degraded. These services are the Government Emergency Telecommunications Service, the Wireless Priority Service, and the Special Routing Arrangement Service.

*Next Generation Network (NGN)* – In FY 2013, NPPD requests \$20.000 million for the NGN Priority Service (PS) program, including 2 FTP/2 FTE. This represents a decrease of \$5.253 million from FY 2012 Enacted. NGN will leverage Internet Protocol infrastructures to provide government and its industry organizations with National Security/Emergency Preparedness telecommunications during an emergency. It will supplement PTS services as commercial telecommunications carriers transition from circuit-switched infrastructures to Internet Protocol infrastructures. The NGN-PS Program Office works with major carriers as they make the transition to deploy features enabling National Security/Emergency Preparedness priority service. Over the long term, the NGN-PS will deliver priority voice, video, and data communication services.

*Programs to Study and Enhance Telecommunications (PSET)* – In FY 2013, NPPD requests \$19.594 million for PSET, including 33 FTP/33 FTE. This represents a \$6.153 million increase over the FY 2012 Enacted of \$13.441 million. PSET conducts technical studies and analyses for identifying and improving approaches to assist Federal entities in fulfilling National Security/Emergency Preparedness telecommunications objectives. PSET models and analyzes priority communications capabilities, assists the State Department in recommending national and international telecommunications standards for networks supporting National Security/Emergency Preparedness goals, and maintains and supports the implementation of policy to address minimum communication capabilities requirements for departments and agencies to continue operations during emergency or crisis situations.

*Critical Infrastructure Protection Program* – In FY 2013, NPPD requests \$10.978 million for the Critical Infrastructure Protection Program, including 40 FTP/40 FTE. This represents a decrease of \$0.374 million from the FY 2012 Enacted. The Critical Infrastructure Protection Program supports operations to assist in the initiation, coordination, restoration, and reconstitution of National Security/Emergency Preparedness telecommunications. This includes the operation, maintenance, and supporting activities of the National Coordinating Center for Telecommunications, a joint industry-government body to coordinate the response to National Security/Emergency Preparedness telecommunications incidents. Additionally, the program conducts analyses of telecommunications capabilities in the aftermath of a disaster, training, and exercises to prepare to respond to disasters and other crises, and a regulatory, administrative, and operational system to authorize and provide priority treatment of National Security/Emergency Preparedness services after a disaster.

**C. Budget Request Summary:**

NPPD requests 1,336 FTP/1,260 FTE and \$1,166.633 million for FY 2013.

**Program Changes**

- **Cybersecurity Capability Improvement Program .....\$202.0M (0 FTE)**  
This program change provides \$202.0 million for this new initiative, which is designed to further reduce risk in the Federal cyber domain. It will address vulnerabilities in civilian Federal network cybersecurity, and support continuous monitoring at Federal agencies, improve the common operating picture of threats to the civilian Federal cyber network, and ensure that threats are resolved more quickly. This initiative will be overseen by NCSD’s Federal Network Security branch. The initiative will directly support Federal civilian departments and agencies in developing capabilities that will improve their cybersecurity posture in accordance with the Federal Information Security Management Act (FISMA), enable improved continuous monitoring at departments and agencies, and support other critical cybersecurity capabilities to thwart advanced, persistent cyber threats.
  
- **US-CERT Operations .....\$15.3M (12 FTE)**  
This program change provides an increase of \$15.3 million and 23 FTP/12 FTE to support US-CERT Operations in its effort to keep pace with NCPS Block 3.0. US-CERT will increase its analytic capability, allowing it to keep pace with the evolving cybersecurity threat environment and the implementation of NCPS Block 3.0. Additionally, US-CERT would begin to staff DHS’s site at Corry Station in Pensacola, Florida, in order to meet critical continuity of operations (COOP) objectives, facilitate continued monitoring of the Federal networks, provide expanded capability to do malware analysis, and support cross-sector information sharing in the event of a major disaster impacting US-CERT’s operations based in the Washington, D.C., area.
  
- **Network Security Deployment .....\$116.9M (9 FTE)**  
This program change provides an increase of \$116.9 million and 18 FTP/9FTE to support Network Security Deployment’s sustainment and expansion of intrusion prevention capabilities and development of information sharing capabilities. NCPS Block 3.0 will draw on commercial technology and specialized government technology to conduct intrusion prevention and threat-based decision making on network traffic entering or leaving Federal civilian networks. Network Security Deployment also will begin development of NCPS Block 2.2, which will augment the visualization of department and agency threat information and provides an advanced mechanism for information sharing and collaboration, tiered to support multiple user communities.
  
- **Multi-State Information Sharing and Analysis Center .....\$4.9M (0 FTE)**  
This program change provides an increase of \$4.9 million to support the Multi-State Information Sharing and Analysis Center (MS-ISAC). MS-ISAC provides the opportunity to analyze information and correlation across its State, local, tribal, and territorial (SLTT) members, which then can be efficiently aggregated and shared with

US-CERT, NCCIC, and their public and private sector partners without requiring Federal personnel resources. MS-ISAC will use a consolidation of services for 25 States, including hosting a 24x7x365 cybersecurity operations center, developing and rapidly distributing cybersecurity advisories and bulletins, and directly responding to and assisting MS-ISAC members with response to cyber incidents.

- **Critical Infrastructure Warning and Information Network.....\$6.7M (3 FTE)**  
 This program change provides an increase of \$6.7 million and 3 FTP/3 FTE to support the Critical Infrastructure Warning and Information Network (CWIN). CWIN is a contingency network with dedicated circuits and “thin” workstations, connecting DHS with key organizations responsible for restoring the packet-switched network (PSN) and the Internet if they are disrupted by a cyber attack. CWIN provides protected voice and data between DHS and infrastructure partners to enable secure communication during significant incidents when the PSN and Internet are disrupted. CWIN is the only system that can provide out-of-band connectivity for DHS and its stakeholders.
- **Cybersecurity Facilities .....(\$5.5M) (0 FTE)**  
 This program change reduces Cybersecurity Facilities by \$5.5 million and 0 FTP/0 FTE. This will postpone facility plans that address real estate requirements, security, and critical infrastructure issues. This was reduced in order to provide additional funding for higher priority cybersecurity programs.
- **Next Generation Networks.....(\$5.3M) (0 FTE)**  
 This program change reflects a \$5.3 million reduction to Next Generation Networks Priority Services. This program funds the planning and acquisition of technology to replace Priority Telecommunications Services voice services from circuit-based technology to internet protocol (IP)-based technology. The reduction will have a limited impact on the transition from circuit-based to IP-based technology. This program was reduced in order to provide additional funding for higher priority cybersecurity programs.
- **Incident Planning and Exercises (IPE).....\$7.8M (0 FTE)**  
 This program change eliminates IPE as a discrete project in order to provide additional funding for higher priority efforts and transfers the Federal staff to other IP projects where the activities performed under IPE will continue to operate.
- **Defer Investment in Critical Infrastructure Technology and Analysis (CITA) Tools.....(\$2.6M) (0 FTE)**  
 This program change represents a reduction in non-personnel mission support funds to ensure the highest priority capabilities are fully funded to achieve core missions. The CITA project’s development of a services-based architecture to facilitate interoperability and information sharing will be delayed without compromising the project’s primary mission.

- **Sector Specific Agency (SSA) Management.....(\$2.0M) (0 FTE)**  
This program change will be applied to work with the Chemical, Commercial Facilities, Critical Manufacturing, Dams, Nuclear, and Emergency Services sectors, and the Interagency Security Committee. Training will shift to more inexpensive media.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
 Summary of FY 2013 Budget Estimates by Program/Project/Activity  
 FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
<b>Infrastructure Protection</b>	<b>725</b>	<b>562</b>	<b>319,170</b>	<b>681</b>	<b>626</b>	<b>295,452</b>	<b>689</b>	<b>634</b>	<b>255,083</b>	<b>8</b>	<b>8</b>	<b>(40,369)</b>	-	-	<b>(12,733)</b>	<b>8</b>	<b>8</b>	<b>(27,636)</b>
Infrastructure Security Compliance	268	190	95,930	253	242	93,348	253	242	74,544	-	-	(18,804)	-	-	-	-	-	(18,804)
Regional Field Operations	157	137	64,211	165	152	57,367	153	140	56,498	(12)	(12)	(869)	-	-	(346)	(12)	(12)	(523)
Sector Management and Governance	204	174	82,214	170	143	74,219	194	167	67,132	24	24	(7,087)	-	-	(4,573)	24	24	(2,514)
Infrastructure Analysis and Planning	96	61	76,815	93	89	70,518	89	85	56,909	(4)	(4)	(13,609)	-	-	(7,814)	(4)	(4)	(5,795)
<b>Cybersecurity</b>	<b>260</b>	<b>204</b>	<b>364,944</b>	<b>398</b>	<b>358</b>	<b>443,176</b>	<b>457</b>	<b>436</b>	<b>769,004</b>	<b>59</b>	<b>78</b>	<b>325,828</b>	<b>43</b>	<b>22</b>	<b>331,327</b>	<b>16</b>	<b>56</b>	<b>(5,499)</b>
Strategic Initiatives	37	28	61,224	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Outreach and Programs	16	14	6,281	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Business Operations	-	-	-	33	33	11,568	33	33	6,227	-	-	(5,341)	-	-	(5,449)	-	-	108
Critical Infrastructure Cyber Protection and Awareness	-	-	-	37	28	60,000	39	38	62,763	2	10	2,763	2	1	5,036	-	9	(2,273)
Cybersecurity Coordination	-	-	-	14	14	4,500	14	14	3,995	-	-	(505)	-	-	(510)	-	-	5
Federal Network Security	-	-	-	53	42	35,000	69	69	236,014	16	27	201,014	-	-	202,046	16	27	(1,032)
Global Cybersecurity Management	-	-	-	23	19	23,992	23	23	21,957	-	4	(2,035)	-	-	(2,010)	-	4	(25)
Network Security Deployment	-	-	-	73	72	229,000	91	82	345,046	18	10	116,046	18	9	116,879	-	1	(833)
US-CERT Operations	-	-	-	165	150	79,116	188	177	93,002	23	27	13,886	23	12	15,335	-	15	(1,449)
<b>Communications</b>	<b>150</b>	<b>149</b>	<b>148,943</b>	<b>172</b>	<b>167</b>	<b>149,615</b>	<b>190</b>	<b>190</b>	<b>142,547</b>	<b>18</b>	<b>23</b>	<b>(7,068)</b>	<b>3</b>	<b>3</b>	<b>1,397</b>	<b>15</b>	<b>20</b>	<b>(8,465)</b>
Priority Telecommunications Services	41	55	57,143	40	40	56,074	50	50	53,286	10	10	(2,788)	-	-	-	10	10	(2,788)
Next Generation Networks	-	-	20,986	2	1	25,253	2	2	20,000	-	1	(5,253)	-	-	(5,253)	-	1	-
Programs to Study & Enhance Telecommunications	28	24	16,164	28	28	13,441	33	33	19,594	5	5	6,153	3	3	6,650	2	2	(497)
Critical Infrastructure Protection	29	22	14,169	40	36	11,352	40	40	10,978	-	4	(374)	-	-	-	-	4	(374)
Office of Emergency Communications	52	48	40,481	62	62	43,495	65	65	38,689	3	3	(4,806)	-	-	-	3	3	(4,806)
<b>Total, Infrastructure Protection and Information Security</b>	<b>1,135</b>	<b>915</b>	<b>833,057</b>	<b>1,251</b>	<b>1,151</b>	<b>888,243</b>	<b>1,336</b>	<b>1,260</b>	<b>1,166,633</b>	<b>85</b>	<b>109</b>	<b>278,391</b>	<b>46</b>	<b>25</b>	<b>319,991</b>	<b>39</b>	<b>84</b>	<b>(41,600)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>1,135</b>	<b>915</b>	<b>833,057</b>	<b>1,251</b>	<b>1,151</b>	<b>888,243</b>	<b>1,336</b>	<b>1,260</b>	<b>1,166,633</b>	<b>85</b>	<b>109</b>	<b>278,391</b>	<b>46</b>	<b>25</b>	<b>319,991</b>	<b>39</b>	<b>84</b>	<b>(41,600)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>1,135</b>	<b>915</b>	<b>833,057</b>	<b>1,251</b>	<b>1,151</b>	<b>888,243</b>	<b>1,336</b>	<b>1,260</b>	<b>1,166,633</b>	<b>85</b>	<b>109</b>	<b>278,391</b>	<b>46</b>	<b>25</b>	<b>319,991</b>	<b>39</b>	<b>84</b>	<b>(41,600)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Infrastructure Protection**  
**Infrastructure Security Compliance**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Infrastructure Security Compliance**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	<b>268</b>	<b>190</b>	<b>95,930</b>
<b>2012 Enacted Budget Authority</b>	<b>253</b>	<b>242</b>	<b>93,348</b>
2013 Adjustments-to-Base	-	-	(18,804)
<b>2013 Current Services</b>	<b>253</b>	<b>242</b>	<b>74,544</b>
<b>2013 Total Requested Budget Authority</b>	<b>253</b>	<b>242</b>	<b>74,544</b>
Total Change 2012 to 2013	-	-	(18,804)

NPPD requests \$74.544 million and 253 FTP/242 FTE for the Infrastructure Security Compliance Project. The request includes:

- Decrease of \$1.716 million for realignment to centralize IP business support functions
- Increase of \$0.124 million for the 2013 pay increase
- Decrease of \$0.047 to partially offset 2013 pay increase
- Decrease of \$0.280 million for DHS Strategic Sourcing Initiative Savings
- Decrease of \$0.144 for the reduction of DHS PCS moves
- Decrease of \$0.899 million for transfers to consolidate evaluation activities
- Decrease of \$15.842 million for reduction based on historical carryover

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY12 Enacted FTP	FY12 Enacted FTE	FY12 Enacted S&B \$K	FY12 Enacted Prog \$K	FY12 Enacted Total \$K	FY13 Request FTP	FY13 Request FTE	FY13 Request S&B \$K	FY13 Request Prog \$K	FY13 CJ Request Total \$K
Infrastructure Security Compliance Program	253	242	\$ 32,965	\$ 60,383	\$ 93,348	253	242	\$ 33,089	\$ 41,455	\$ 74,543
Infrastructure Security Compliance	253	242	\$ 32,965	\$ 60,383	\$ 93,348	253	242	\$ 33,089	\$ 41,455	\$ 74,543
<b>Grand Total</b>	<b>253</b>	<b>242</b>	<b>\$ 32,965</b>	<b>\$ 60,383</b>	<b>\$ 93,348</b>	<b>253</b>	<b>242</b>	<b>\$ 33,089</b>	<b>\$ 41,455</b>	<b>\$ 74,543</b>

The Infrastructure Security Compliance Project develops regulations, monitors regulatory compliance, conducts inspections, and performs outreach and communications activities. The two primary initiatives are the development and implementation of the Chemical Facility Anti-Terrorism Standards (CFATS) program and the development and implementation of the Ammonium Nitrate (AN) Security Program.

The Infrastructure Security Compliance Project regulates security at high-risk chemical facilities, requiring them to complete Security Vulnerability Assessments and develop and implement Site Security Plans that meet risk-based performance standards established by the Department. The Project also has the authority to regulate the sale and transfer of AN in order to prevent its misappropriation or use in a terrorist attack. The Project helps to ensure that high-risk facilities are appropriately addressing their security risks and that risks are not shifted between individual facilities, among surrounding communities, between regions, or to non-facility assets.

In addition, the Infrastructure Security Compliance Project has helped to make the Nation safer by influencing chemical facilities to reduce holdings of chemicals of interest that are affecting their risk level. Specifically, since the inception of this project, 1,674 facilities preliminarily determined to be high-risk have removed all chemicals of interest from their sites while an additional 743 facilities have reduced their onsite quantities of chemicals of interest to a low enough level that they are no longer considered high risk.

The Infrastructure Security Compliance Project was established in response to the DHS Appropriations Act of 2007 (Public Law 109-295), which gave DHS authority to regulate and prioritize security at those chemical facilities nationwide that present a high level of risk. The statutory requirements that the project implements are contained in the Chemical Facility Anti-Terrorism Standards (6 C.F.R. Part 27). Additional requirements are being added to the Project in response to Section 563 of the 2008 Consolidated Appropriations Act, Subtitle J – Secure Handling of Ammonium Nitrate (“Section 563”). Section 563 amends the Homeland Security Act of 2002 and provides DHS with the authority to “regulate the sale and transfer of ammonium nitrate by an ammonium nitrate facility ... to prevent the misappropriation or use of ammonium nitrate in an act of terrorism.” The Project also has the authority to regulate the sale and transfer of AN in order to prevent its misappropriation or use in a terrorist attack.



**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Infrastructure Protection  
Regional Field Operations  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Regional Field Operations**

<b>2011 Actual Obligations</b>	<b>157</b>	<b>137</b>	<b>64,211</b>
<b>2012 Enacted Budget Authority</b>	<b>165</b>	<b>152</b>	<b>57,367</b>
2013 Adjustments-to-Base	(12)	(12)	(523)
<b>2013 Current Services</b>	<b>153</b>	<b>140</b>	<b>56,844</b>
2013 Program Change	-	-	(346)
<b>2013 Total Requested Budget Authority</b>	<b>153</b>	<b>140</b>	<b>56,498</b>
Total Change 2012 to 2013	(12)	(12)	(869)

NPPD requests \$56.498 million and 153 FTP/140 FTE for Regional Field Operations. The request includes:

- Increase of \$0.171 million and 2 FTP/2 FTE for realignment to centralize IP business support functions
- Increase of \$2.970 million and 17 FTP/17 FTE for realignment to consolidate exercise, training, and evaluation activities
- Increase of \$3.146 million and 3 FTP/3 FTE for realignment to consolidate geospatial analyst activities into the Protective Security Advisor (PSA) Project
- Increase of \$0.079 million for 2013 pay increase
- Decrease of \$0.030 million to partially offset 2013 pay increase
- Decrease of \$0.920 million for reductions based on historical carryover

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY12		FY12	FY12	FY12	FY13		FY13	FY13	FY13 Cj
	Enacted	Enacted	Enacted	Enacted	Enacted	Request	Request	Request	Request	Request
	FTP	FTE	S&B \$K	Prog \$K	Total \$K	FTP	FTE	S&B \$K	Prog \$K	Total \$K
Regional Field Operations	165	152	\$20,955	36,412	57,367	153	140	\$19,431	37,066	56,497
CIKR Partnerships	26	25	3,384	15,143	18,527	9	8	1,085	13,558	14,643
National Infrastructure Coordinating Center	22	22	3,004	10,337	13,341	24	24	3,293	10,227	13,519
Protective Security Advisors	117	105	14,567	10,932	25,499	120	108	15,054	13,280	28,334
<b>Grand Total</b>	<b>165</b>	<b>152</b>	<b>20,955</b>	<b>36,412</b>	<b>57,367</b>	<b>153</b>	<b>140</b>	<b>\$19,431</b>	<b>\$37,066</b>	<b>\$56,497</b>

***Partnerships and Information Sharing***

The CIKR Partnerships Project enhances critical infrastructure protection and resilience by building and sustaining a comprehensive network of stakeholder engagement structures and processes, through which critical infrastructure stakeholders coordinate and communicate within their communities and across sectors and geographic jurisdictions. The project provides effective legal- and policy-compliant structure and procedures for engagement within and among critical infrastructure public-private partnerships and a unifying information-sharing environment for the stakeholder community, from the national level to the local level.

***National Infrastructure Coordinating Center (NICC)***

The NICC Project consolidates, from a national perspective, significant primary and cascading impacts caused by critical infrastructure degradation resulting from an incident. The NICC Project also provides the structures necessary to maintain effective steady-state monitoring and incident management planning for conditions and events that threaten the Nation’s critical infrastructure assets and systems. As one of the elements of the National Operations Center, the NICC provides situational awareness and monitoring of incidents affecting critical infrastructure nationwide. This steady-state monitoring, alerting, and response planning enables a rapid transition to incident management in a crisis.

The operational elements of the NICC Project include the 24/7 Watch and Warning Unit and a briefing staff; operational functions of the project include ensuring readiness of the IP Critical Infrastructure Crisis Action Team (CI CAT). The NICC also supports a scalable incident management capability through routine training and exercises of the CI CAT. When activated, the CI CAT coordinates all incident response activities across IP and provides situational awareness and decision support to DHS leadership, critical infrastructure stakeholders, and emergency response officials. As an active participant in the Nationwide Suspicious Activity Reporting (SAR) Initiative, the NICC routinely receives SAR involving the Nation’s critical infrastructure that may have a potential nexus to terrorism and shares it with DHS, FBI, and other stakeholders as appropriate.

***Protective Security Advisors***

The PSA Project provides comprehensive critical infrastructure protection capacity. PSAs deploy strategically across the United States to provide State and local communities with IP risk-reduction efforts and support response to all hazardous incidents, providing expertise on reconstituting critical

infrastructure and surge capabilities to more effectively support threat-driven actions. They serve as the Department's onsite critical infrastructure and vulnerability assessment specialists, while giving a local perspective to—and supporting the development of—the national risk picture by identifying, assessing, monitoring, and minimizing the risk to critical infrastructure at the State, local, and regional levels.

PSAs conduct Enhanced Critical Infrastructure Protection security surveys at critical infrastructure facilities to assess overall security postures and track the implementation of new or improved protective measures. They inform and educate facility owners and operators on the criticality of the facilities and related threats from terrorism, while forging strong relationships among Level 1 and Level 2 facility owners and operators; DHS; and Federal, State, and local law enforcement. They provide infrastructure security and resiliency expertise to government officials and their private sector counterparts who are responsible for security at mass gatherings, National Special Security Events, and high-level special events.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Infrastructure Protection  
Sector Management and Governance  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Sector Management and Governance**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>204</b>	<b>174</b>	<b>82,214</b>
<b>2012 Enacted Budget Authority</b>	<b>170</b>	<b>143</b>	<b>74,219</b>
2013 Adjustments-to-Base	24	24	(2,514)
<b>2013 Current Services</b>	<b>194</b>	<b>167</b>	<b>71,705</b>
2013 Program Change	-	-	(4,573)
<b>2013 Total Requested Budget Authority</b>	<b>194</b>	<b>167</b>	<b>67,132</b>
Total Change 2012 to 2013	24	24	(7,087)

NPPD requests \$67.132 million and 194 FTP/167 FTE million for Sector Management and Governance. The request includes:

- Increase of \$4.723 million and 31 FTP/31 FTE for realignment to centralize IP business support functions
- Decrease of \$4.725 million and 7 FTP/7 FTE for realignment to consolidate exercise, training, and evaluation activities
- Increase of \$0.071 million for the 2013 pay increase
- Increase of \$0.209 million for FY 2013 GSA rent
- Decrease of \$0.027 to partially offset 2013 pay increase
- Decrease of \$1.141 million for Office of Federal Procurement Planning purchasing savings
- Decrease of \$1.624 for reductions based on carryover

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Sector Management &amp; Governance</b>	<b>170</b>	<b>143</b>	<b>18,970</b>	<b>55,249</b>	<b>74,219</b>	<b>194</b>	<b>167</b>	<b>67,132</b>		<b>67,132</b>
Critical Infrastructure Technology & Analysis	70	67	9,029	21,458	30,487	67	64	8,631	15,732	24,363
GSA Rent				10,666	10,666				9,404	9,404
NIPP Management	24	21	2,941	7,393	10,334	20	17	2,392	6,796	9,188
SSA Management	76	55	7,000	15,732	22,732	107	86	11,284	12,893	24,177
<b>TOTAL</b>	<b>170</b>	<b>143</b>	<b>18,970</b>	<b>55,249</b>	<b>74,219</b>	<b>194</b>	<b>167</b>	<b>22,307</b>	<b>44,825</b>	<b>67,132</b>

### ***Critical Infrastructure Technology and Architecture (CITA)***

IP's mission requires the use of information technology (IT) to collect, store, protect, and manage data concerning the Nation's critical infrastructure. The CITA Project's purpose is to consolidate IP's IT development, testing, and maintenance activities to provide cost efficiencies by establishing a framework to manage the large repository of collected infrastructure data. This repository will be the Infrastructure Data Warehouse.

This project benefits the IP mission by ensuring interoperability and improved access to IP IT applications, thereby minimizing development costs and providing improved data quality. To date, accomplishments include an assessment of the current IP IT systems inventory, establishment of an IP service-oriented architecture, and establishment of a Joint Technology Lab located at the Department of Defense-sponsored Multi-Agency Collaboration Environment in order to facilitate the design, development, and testing of IP technical solutions. Primary beneficiaries include both governmental and private sector entities that have a critical infrastructure protection mission.

### ***National Infrastructure Protection Plan (NIPP) Management***

The NIPP Management Project enhances critical infrastructure protection and resilience by providing essential guidance and facilitating coordination support for Sector-Specific Agencies' implementation of the NIPP and the Sector-Specific Plans. The NIPP Management Project oversees NIPP implementation processes by reporting progress and measuring effectiveness across the Sector-Specific Agencies, State and local partners, and private sector critical infrastructure owners and operators, as well as across IP programs and activities. The project also provides for cross-sector preparedness, public education, and academic engagement to support NIPP implementation.

The NIPP Management Project actively engages critical infrastructure partners in making risk-informed decisions and achieving protection and resilience outcomes in accordance with the NIPP. Through the Critical Infrastructure Risk Management Enhancement Initiative (CIRMEI), the project has developed—and continues to refine—clear outcomes and metrics that inform resource allocation for the National Coordinator, the 18 critical sectors, and SLTT entities. In this way, the CIRMEI drives an enhanced process for measuring progress and assessing the state of critical infrastructure protection and resilience efforts across the country through improved reporting and action-oriented planning to inform programmatic and resource-allocation decisions.

The National Critical Infrastructure Annual Report (NAR) presents the progress of Federal and SLTT governments and the 18 sectors against these outcome metrics, and the Critical Infrastructure Risk Management Plan (CIRMP) describes planned approaches for improving critical infrastructure protection and resilience in areas where progress has been insufficient, as reported in the NAR.

### ***Sector-Specific Agency (SSA) Management***

The SSA Management Project executes the SSA mission to lead the unified public-private sector effort to coordinate, develop, and implement comprehensive security and resilience strategies for six critical infrastructure sectors (Chemical; Commercial Facilities; Critical Manufacturing; Dams; Emergency Services; and Nuclear Reactors, Materials, and Waste). In addition, the SSA Management Project, in its capacity as the Interagency Security Committee (ISC) Program Management Office, has

responsibility for executing the ISC mandate, which is to issue and monitor the implementation of standards to enhance the security of nonmilitary buildings and facilities in the United States occupied by Federal employees and other personnel.

SSA Management executes this capability through strong partnerships with the private sector, academia, and all levels of government, as well as effective planning and activity integration, education and training, information sharing and communication, exercises, and assessment and mitigation.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Infrastructure Protection  
Infrastructure Analysis and Planning  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Infrastructure Analysis and Planning**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>96</b>	<b>61</b>	<b>76,815</b>
<b>2012 Enacted Budget Authority</b>	<b>93</b>	<b>89</b>	<b>70,518</b>
2013 Adjustments-to-Base	(4)	(4)	(5,795)
<b>2013 Current Services</b>	<b>89</b>	<b>85</b>	<b>64,723</b>
2013 Program Change	-	-	(7,814)
<b>2013 Total Requested Budget Authority</b>	<b>89</b>	<b>85</b>	<b>56,909</b>
Total Change 2012 to 2013	(4)	(4)	(13,609)

NPPD requests \$56.909 million and 89 FTP/85 FTE for Identification and Analysis. The request includes:

- Decrease of \$1.068 million for the centralization of IP business support functions
- Decrease of \$2.218 million and 16 FTP/16 FTE for the consolidation of exercise, training, and evaluation activities
- Increase of 12 FTP/12 FTE for balanced workforce conversions
- Increase of \$0.044 million for 2013 pay increase
- Decrease of \$0.017 million to partially offset 2013 pay increase
- Decrease of \$0.769 million for Office of Federal Procurement Planning directed purchasing savings
- Decrease of \$1.767 million as a reduction based on historical carryover amounts

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY12	FY12	FY12	FY12	FY12	FY13	FY13	FY13	FY13	FY13 CJ
	Enacted FTP	Enacted FTE	Enacted S&B \$K	Enacted Prog \$K	Enacted Total \$K	Request FTP	Request FTE	Request S&B \$K	Request Prog \$K	Request Total \$K
<b>Infrastructure and Analysis Planning</b>	<b>93</b>	<b>89</b>	<b>\$11,619</b>	<b>58,899</b>	<b>70,518</b>	<b>89</b>	<b>85</b>	<b>\$11,198</b>	<b>45,710</b>	<b>56,909</b>
Bombing Prevention	20	18	3,022	10,529	13,551	20	18	3,033	8,375	11,408
Incident Planning & Exercises	16	16	2,192	7,814	10,006	0	0	0	0	0
Infrastructure Sector Analysis	42	41	4,357	21,336	25,693	54	53	6,109	18,804	24,913
Vulnerability Assessments	15	14	2,048	19,220	21,268	15	14	2,056	18,532	20,588
<b>Grand Total</b>	<b>93</b>	<b>89</b>	<b>11,619</b>	<b>58,899</b>	<b>70,518</b>	<b>89</b>	<b>85</b>	<b>\$11,198</b>	<b>\$45,710</b>	<b>\$56,909</b>

## ***Bombing Prevention***

The Bombing Prevention (BP) project enhances the ability of State and local responders, local law enforcement, the private sector, and the public to detect, deter, and prevent bombing attacks, and to combat the threat of terrorist use of explosives. This is done by providing guidance and training to improve capabilities that will prevent bombing attacks targeting critical infrastructure. BP is the lead agent for Homeland Security Presidential Directive (HSPD)-19, the HSPD-19 *Implementation Plan*, and the National Strategy for Combating Terrorist Use of Explosives in the United States.

BP coordinates national and intergovernmental bombing prevention efforts by expanding partnerships and services to State and local law enforcement, first responders, partners in the Federal Government, international law enforcement/first responders, the private sector, and the public,

Initiatives include:

- Multi-Jurisdiction Improvised Explosive Device Security Planning in high-risk jurisdictions
- National capabilities analysis of bomb squads, dive teams, SWAT, and canine teams; these analyses also support the Regional Resiliency Assessment Program
- Bombing prevention and risk mitigation training
- Information sharing such as the Bomb-making Materials Awareness Program and the Technical Resource for Incident Prevention (TRIPwire). TRIPwire is the DHS online information-sharing network for bomb squads and law enforcement and other emergency personnel, to enhance their awareness of terrorist IED tactics, techniques, and procedures.

## ***Infrastructure Sector Analysis (ISA)***

The ISA Project enables better risk management through providing standardized risk assessment methodologies for use by CIKR owners and operators, and SLTT jurisdictions with improved management of the risk landscape. The project provides owners, operators, SLTT partners, and DHS decision-makers with risk integration and analysis, risk modeling, and analyses of hazard, vulnerability, consequence, dependency, and interdependency.

ISA, including the National Infrastructure Simulation and Analysis Center, applies a risk management framework to systemically compare and contrast probabilities of events occurring and to forecast potential risks to provide the Critical Infrastructure protection community with certainty and clarity to understand the complex trade-offs that must be made to implement risk management and mitigation strategies. ISA supports this through working relationships with the DHS Office of Intelligence and Analysis, the broader Intelligence Community, and other Federal and SLTT security partners.

The ISA Project also allows for the development of Infrastructure of Concern (IOC) lists in support of all-hazards incident management. The IOC lists are tailored to the location and potential critical infrastructure impacts (e.g., physical, economic) specific to a particular incident; they help prioritize Federal, State, and local response and recovery activities as they relate to critical infrastructure.



## *Vulnerability Assessments (VA)*

The VA Project conducts specialized field assessments to identify vulnerabilities of nationally significant critical infrastructure. These vulnerability assessments provide the foundation for IP's risk-based implementation of protective programs designed to prevent, deter, and mitigate the risk of a terrorist attack while enabling timely, efficient response and restoration in an all-hazards post-event situation. The VA Project, in cooperation with the Nuclear Regulatory Commission, also analyzes potential vulnerabilities of proposed sites for new commercial nuclear reactors, as required under Section 637 of the Energy Policy Act of 2005.

The VA Project conducts specialized field assessments to identify vulnerabilities of Level 1 and Level 2 CIKRs. Current efforts include:

- A site assistance visit is a site-specific, voluntary, non-regulatory, and detailed assessment conducted on critical infrastructure assets and systems to enhance protection by identifying vulnerabilities and resiliency gaps and providing options for consideration to mitigate these gaps and vulnerabilities.
- Buffer Zone Plans are strategic documents developed by local jurisdictions, with support from IP, that identify significant assets at designated critical infrastructure sites that may be targeted by terrorists for attack and specific threats and vulnerabilities associated with the site and its significant assets.
- The Regional Resiliency Assessment Program evaluates critical infrastructure on a regional level to examine vulnerabilities, threats, and potential consequences from an all-hazards perspective to identify dependencies, interdependencies, cascading effects, resiliency characteristics, and gaps. The Regional Resiliency Assessment Program aims to provide a comprehensive analysis of a region's CIKR prevention and protection capabilities.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Cybersecurity  
Business Operations  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Business Operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>33</b>	<b>33</b>	<b>11,568</b>
2013 Adjustments-to-Base	-	-	108
<b>2013 Current Services</b>	<b>33</b>	<b>33</b>	<b>11,676</b>
2013 Program Change	-	-	(5,449)
<b>2013 Total Requested Budget Authority</b>	<b>33</b>	<b>33</b>	<b>6,227</b>
Total Change 2012 to 2013	-	-	(5,341)

NPPD requests \$6.227 million for Business Operations, including 33 FTP/33 FTE. This is a decrease of \$5.341 million from FY 2012 and includes the following adjustments to base:

- Increase of \$0.017 million for the 2013 pay increase
- Increase of \$0.096 million for GSA Rent inflation
- Decrease of \$0.007 million to partially offset the 2013 pay increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Business Operations</b>	<b>33</b>	<b>33</b>	<b>4,418</b>	<b>7,151</b>	<b>11,568</b>	<b>33</b>	<b>33</b>	<b>4,434</b>	<b>1,793</b>	<b>6,227</b>
Business Operations	33	33	4,418	1,049	5,467	33	33	4,434	1,043	5,477
Facilities				6,102	6,102	0	0	0	750	750
<b>TOTAL</b>	<b>33</b>	<b>33</b>	<b>4,418</b>	<b>7,151</b>	<b>11,568</b>	<b>33</b>	<b>33</b>	<b>4,434</b>	<b>1,793</b>	<b>6,227</b>

Business Operations supports NCSD leadership by establishing policies and direction to sustain overall cybersecurity strategy and planning through effective integration of resource and financial management, human capital, facilities, performance management, policy development and implementation, information and personnel security, and strategic planning. Business Operations also

oversees the implementation of national cybersecurity policies and ensures that appropriate resources are available to support its mission and specialized information technology systems.

Business Operations is comprised of two areas:

- Business Operations, which provides oversight to financial management, human capital, information and personnel security, performance management, policy development, and strategic planning capabilities. Financial management provides accounting and reporting activities and oversees the management of appropriated funding and expenditures, and prepares budgetary reports required by OMB and Congress. Human Capital manages staffing plans and processes, develops and institutes training and mentoring programs for current employees, provides personal development incentives to improve employee morale, and refines and supplements the existing workforce training programs. Human Capital also manages full-scale accelerated, promotional cybersecurity fellowship and internship programs. Information and Personnel Security establishes IT architecture enhancements, integrates system modifications to provide redundant capabilities, and provides collective resources necessary to support contingency of operations planning and sustainment. Performance Management manages process improvements to reduce response timelines for internal business processes and external informational inquiries. Policy Development and Implementation manages information and system security controls, oversight, and accreditation programs and processes. Strategic Planning supports standard budgeting and acquisition collaboration tools and operating policies and procedures to streamline budgeting and execution activities and strategies throughout the Division.
- Facilities, which coordinates the development of comprehensive facility plans that address real estate requirements, security, and critical infrastructure issues. Facilities also manages real estate, IT, and supporting resources.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Cybersecurity  
Critical Infrastructure Cyber Protection and Awareness  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Critical Infrastructure Cyber Protection and Awareness**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>37</b>	<b>28</b>	<b>60,000</b>
2013 Adjustments-to-Base	-	9	(2,273)
<b>2013 Current Services</b>	<b>37</b>	<b>37</b>	<b>57,727</b>
2013 Program Change	2	1	5,036
<b>2013 Total Requested Budget Authority</b>	<b>39</b>	<b>38</b>	<b>62,763</b>
Total Change 2012 to 2013	2	10	2,763

NPPD requests \$62.763 million for Critical Infrastructure Cyber Protection and Awareness, including 39 FTP/38 FTE. This is an increase of \$2.763 million and 2 FTP/10 FTE (due to the annualization of prior year positions) over FY 2012 and includes the following adjustments to base:

- Increase of \$0.015 million for the 2013 pay increase
- Decrease of \$0.006 million to partially offset the 2013 pay increase
- Decrease of \$2.2820 million for DHS management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Critical Infrastructure Cyber Protection &amp; Awareness</b>	<b>37</b>	<b>28</b>	<b>3,983</b>	<b>56,016</b>	<b>60,000</b>	<b>39</b>	<b>38</b>	<b>4,143</b>	<b>58,620</b>	<b>62,763</b>
Control Systems Security	12	9	1,123	27,804	28,927	12	12	1,127	27,802	28,929
Critical Infrastructure Protection-Cybersecurity	3	2	306	5,317	5,623	3	3	310	5,316	5,626
Cybersecurity Evaluations	8	7	1,127	5,507	6,634	10	9	1,272	5,507	6,779
Cyber Exercises Program	7	5	661	10,143	10,804	7	7	664	9,142	9,806
MS-ISAC Support									4,891	4,891
Outreach & Awareness	7	5	766	7,245	8,012	7	7	770	5,962	6,732
<b>TOTAL</b>	<b>37</b>	<b>28</b>	<b>3,983</b>	<b>56,016</b>	<b>60,000</b>	<b>39</b>	<b>38</b>	<b>4,143</b>	<b>58,620</b>	<b>62,763</b>

Critical Infrastructure Cyber Protection and Awareness collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber CIKR and promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues.

Critical Infrastructure Cyber Protection and Awareness is comprised of five areas:

- Critical Infrastructure Protection-Cyber Security, which strengthens the Nation's preparedness through public and private partnerships that work to improve the security of the IT Sector, serving as the designated Sector-Specific Agency.
- Control Systems Security, which focuses on reducing the cyber risk to industrial control systems integrated into the Nation's CIKR. Through its Industrial Control Systems Cyber Emergency Response Team (ICS-CERT) and Industrial Control Systems Joint Working Group (ICSJWG), the Control Systems Security Program works with both the public and private sector to provide guidance on efforts aimed at reducing the likelihood of success and severity of impact of a cyber attack against the Nation's critical infrastructure industrial control systems. The Control Systems Security Program coordinates with public and private partners to increase capabilities within critical infrastructure and key resources stakeholders for assessing and mitigating vulnerabilities, disseminating products containing actionable intelligence, training staff and personnel on control systems security, and implementing defense and remediation practices within operational environments.
- Cyber Exercises, which plans, coordinates, and conducts cyber-focused exercises that prepare and enhance incident operational capabilities for DHS, Federal, State, local, regional, international, and private sector partners.
- Cyber Security Evaluation, which conducts voluntary cyber security assessments across all 18 CIKR sectors. It provides CIKR sector participants with a portfolio of assessment tools, techniques, and analytics, ranging from those that can be self-applied to those that require expert facilitation or mentoring outreach, and provides CIKR participants and other policy stakeholders with regionally-placed liaison support, through its Cyber Security Advisor initiative.
- Outreach and Awareness, which coordinates domestic and international engagement and outreach by promoting cybersecurity awareness among and within the general public and key stakeholder communities. It maintains relationships with Federal, State, local, and tribal governments, private industry stakeholders, and international cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration and awareness on cybersecurity issues. Outreach and Awareness also engages in building international partnerships and conducting outreach to advance information sharing and collaboration, cooperation, and planning to achieve cybersecurity goals.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Cybersecurity  
Cybersecurity Coordination  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Cybersecurity Coordination**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>14</b>	<b>14</b>	<b>4,500</b>
2013 Adjustments-to-Base	-	-	5
<b>2013 Current Services</b>	<b>14</b>	<b>14</b>	<b>4,505</b>
2013 Program Change	-	-	(510)
<b>2013 Total Requested Budget Authority</b>	<b>14</b>	<b>14</b>	<b>3,995</b>
Total Change 2012 to 2013	-	-	(505)

NPPD requests \$3.995 million for Cybersecurity Coordination, including 14 FTP/14 FTE. This is a decrease of \$0.505 million from FY 2012 Enacted and includes the following adjustments to base:

- Increase of \$0.009 million for the 2013 pay increase
- Decrease of \$0.004 million to partially offset the 2013 pay increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Cybersecurity Coordination</b>	<b>14</b>	<b>14</b>	<b>2,460</b>	<b>2,040</b>	<b>4,500</b>	<b>14</b>	<b>14</b>	<b>2,469</b>	<b>1,526</b>	<b>3,995</b>
Cybersecurity Coordination	14	14	2,460	2,040	4,500	14	14	2,469	1,526	3,995
<b>TOTAL</b>	<b>14</b>	<b>14</b>	<b>2,460</b>	<b>2,040</b>	<b>4,500</b>	<b>14</b>	<b>14</b>	<b>2,469</b>	<b>1,526</b>	<b>3,995</b>

The Cybersecurity Coordination program integrates information from the six Federal cybersecurity centers to provide a fused view of cyber activity across the intelligence, defense, civil, and law enforcement/counterintelligence domains. The program supports operational activities to facilitate integration and activities at the Federal centers, an information system for online collaboration, and IT support and enterprise capability for the centers. Cybersecurity Coordination also supports an increased number of private sector partners present in the NCCIC environment.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Federal Network Security**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Federal Network Security**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>53</b>	<b>42</b>	<b>35,000</b>
2013 Adjustments-to-Base	16	27	(1,032)
<b>2013 Current Services</b>	<b>69</b>	<b>69</b>	<b>33,968</b>
2013 Program Change	-	-	202,046
<b>2013 Total Requested Budget Authority</b>	<b>69</b>	<b>69</b>	<b>236,014</b>
Total Change 2012 to 2013	16	27	201,014

NPPD requests \$236.014 million for Federal Network Security, including 69 FTP/69 FTE. This is an increase of \$201.014 million and 16 FTP/27 FTE (due to the annualization of prior year positions) over FY 2012 Enacted and includes the following adjustments to base:

- Increase of \$0.022 million for the 2013 pay increase.
- Decrease of \$0.008 million to partially offset the 2013 pay increase.
- Decrease of \$1.046 million for DHS management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Federal Network Security</b>	<b>53</b>	<b>42</b>	<b>5,874</b>	<b>29,126</b>	<b>35,000</b>	<b>69</b>	<b>69</b>	<b>8,836</b>	<b>227,178</b>	<b>236,014</b>
Cybersecurity Assurance	36	30	3,884	16,587	20,471	44	44	5,859	14,576	20,435
Network & Infrastructure Security	10	7	1,247	5,062	6,309	10	10	1,252	5,060	6,312
Cybersecurity Performance Management	4	2	322	4,877	5,199	12	12	1,303	2,897	4,200
Requirements & Acquisition Support	3	3	421	2,600	3,021	3	3	423	2,599	3,022
Cybersecurity Capability Improvements									202,046	202,046
<b>TOTAL</b>	<b>53</b>	<b>42</b>	<b>5,874</b>	<b>29,126</b>	<b>35,000</b>	<b>69</b>	<b>69</b>	<b>8,836</b>	<b>227,178</b>	<b>236,014</b>

Federal Network Security manages activities designed to enable departments and agencies to secure their systems and networks. It provides a single, accountable focal point for achieving cyber infrastructure security and compliance throughout the Federal enterprise. Federal Network Security is comprised of the following five areas:

- Cybersecurity Assurance, which assesses the state of operational readiness and cybersecurity risk of unclassified Federal networks and systems and provides departments and agencies with information and services to mitigate their cyber risks. This activity also measures Federal agency compliance with information security laws and policies and provides policymakers with an enterprise view of the Federal government’s cybersecurity posture.
- Network and Infrastructure Security, which leads the CNCI Trusted Internet Connections (TIC) Initiative with OMB. It optimizes network security capabilities into a common solution for the Federal information enterprise and facilitates the reduction and consolidation of external connections, including Internet points of presence, through approved access points.
- Cybersecurity Performance Management, which provides operational support for Federal Executive Civilian Branch departments and agencies in their compliance with the Federal Information Security Management Act (FISMA) and guidance outlined in OMB M-10-15 and M-10-28. In addition to providing operational support, the Program works with cybersecurity partners to improve the quality of security measures under FISMA and advance the overall security posture of the Federal civilian enterprise. Cybersecurity Performance Management also assesses network security best practices and recommends changes to Federal IT policy or architecture. This activity is a forward-looking entity that directly supports the long-term strategic prevention of attacks against Federal Government networks through the management of common challenges faced by all agencies.
- Requirements and Acquisitions Support, which supports the strategic prevention of attacks against Federal executive branch civilian networks by facilitating information exchange and effectively supporting government-wide cybersecurity initiatives. It assists in requirements development and acquisition support for investments in security solutions, technologies, and processes.



**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Cybersecurity  
Global Cybersecurity Management  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Global Cybersecurity Management**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>23</b>	<b>19</b>	<b>23,992</b>
2013 Adjustments-to-Base	-	4	(25)
<b>2013 Current Services</b>	<b>23</b>	<b>23</b>	<b>23,967</b>
2013 Program Change	-	-	(2,010)
<b>2013 Total Requested Budget Authority</b>	<b>23</b>	<b>23</b>	<b>21,957</b>
Total Change 2012 to 2013	-	4	(2,035)

NPPD requests \$21.957 million for Global Cybersecurity Management, including 23 FTP/23 FTE. This is a decrease of \$2.035 million from FY 2012 and an increase of 0 FTP/4 FTE (due to the annualization of prior year positions) over FY 2012 and includes the following adjustments to base:

- Increase of \$0.010 million for the 2013 pay increase.
- Decrease of \$0.004 million to partially offset the 2013 pay increase.
- Decrease of \$0.031 million for DHS management efficiencies.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Global Cybersecurity Management</b>	<b>23</b>	<b>19</b>	<b>2,712</b>	<b>21,280</b>	<b>23,992</b>	<b>23</b>	<b>23</b>	<b>2,722</b>	<b>19,235</b>	<b>21,957</b>
Cybersecurity Education	8	7	1,027	13,849	14,876	8	8	1,031	11,837	12,868
Research & Standards Integration	5	4	531	1,570	2,101	5	5	533	1,538	2,071
Software Assurance	3	2	338	1,690	2,028	3	3	339	1,690	2,029
Supply Chain Risk Management	7	6	816	4,171	4,987	7	7	819	4,170	4,989
<b>TOTAL</b>	<b>23</b>	<b>19</b>	<b>2,712</b>	<b>21,280</b>	<b>23,992</b>	<b>23</b>	<b>23</b>	<b>2,722</b>	<b>19,235</b>	<b>21,957</b>

Global Cybersecurity Management develops and promulgates sound practices for software developers, IT security professionals, and other CIKR stakeholders. It also addresses the need to build a skilled cyber workforce for today and tomorrow and provides a set of comprehensive

resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components.

Global Cybersecurity Management is comprised of four areas:

- Cybersecurity Education and Workforce Development, which works to develop a skilled workforce and facilitate the availability of qualified cybersecurity professionals to support the Nation’s cybersecurity needs through education and workforce development programs. It also assists in the implementation of the National Initiative for Cybersecurity Education Strategy, leading and coordinating efforts to improve the Nation’s cybersecurity education posture to ensure a robust, competent cybersecurity workforce.
- Research and Standards Integration, which promotes the development of standards and frameworks that align with national interests to enhance cybersecurity postures of networks, software, and other cyber domains, and effectively shares information about development and use of cybersecurity standards throughout DHS.
- Software Assurance, which seeks to improve the security of software through the collaborative advancement of standards-based technologies, tools, processes, and practices in both the public and private sectors.
- Supply Chain Risk Management, which promotes the resiliency of the Information and Communications Technology non-national security systems supply chain. To execute this mission, this activity works to expand the acquisition and technical community’s awareness of supply chain risks, develop tools that mitigate risk, develop new acquisition and technical policies and practices, partner with industry to develop standards and practices, and provide alerts to stakeholders of supply chain threats.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Cybersecurity  
Network Security Deployment  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Network Security Deployment**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>73</b>	<b>72</b>	<b>229,000</b>
2013 Adjustments-to-Base	-	1	(833)
<b>2013 Current Services</b>	<b>73</b>	<b>73</b>	<b>228,167</b>
2013 Program Change	18	9	116,879
<b>2013 Total Requested Budget Authority</b>	<b>91</b>	<b>82</b>	<b>345,046</b>
Total Change 2012 to 2013	18	10	116,046

NPPD requests \$345.046 million for Network Security Deployment, including 91 FTP/82 FTE. This is an increase of \$116.046 million and 18 FTP/10 FTE over FY 2012 Enacted and includes the following adjustments to base:

- Increase of \$0.037 million for the 2013 pay increase
- Decrease of \$0.014 million to partially offset the 2013 pay increase
- Decrease of \$0.856 million for DHS management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Network Security Deployment</b>	<b>73</b>	<b>72</b>	<b>9,827</b>	<b>219,173</b>	<b>229,000</b>	<b>91</b>	<b>82</b>	<b>11,220</b>	<b>333,824</b>	<b>345,046</b>
Core Infrastructure	16	16	2,173	17,396	19,569	16	16	2,181	56,959	59,140
Intrusion Detection	15	15	2,038	20,700	22,738	15	15	2,046	20,071	22,117
Analytics	13	13	1,782	23,761	25,543	13	13	1,789	27,059	28,848
Information Sharing	5	5	696	5,337	6,033	9	7	997	18,325	19,322
Intrusion Prevention	3	3	419	109,068	109,487	15	9	1,329	141,031	142,361
Program Planning & Operations	21	20	2,719	42,911	45,630	23	22	2,878	70,379	73,258
<b>TOTAL</b>	<b>73</b>	<b>72</b>	<b>9,827</b>	<b>219,173</b>	<b>229,000</b>	<b>91</b>	<b>82</b>	<b>11,220</b>	<b>333,824</b>	<b>345,046</b>

Network Security Deployment is responsible for the development, acquisition, deployment, operations, and maintenance of NCPS, operationally known as EINSTEIN. NCPS is an integrated system of intrusion detection, analytics, intrusion prevention, and information sharing

capabilities that are used to defend Federal civilian departments' and agencies' IT infrastructure from cyber threats. It consists of the hardware, software, supporting processes, training, and services that are being developed and acquired to support Network Security Deployment's mission requirements as delineated in CNCI.

Network Security Deployment is comprised of six areas:

- Core Infrastructure, which is made up of the IT systems and facilities that enable the delivery of NCPS capabilities. The NCPS core infrastructure includes all classifications levels of the mission operating environment that US-CERT Operations analysts use to access the information generated from NCPS operational systems, communications infrastructure that links NCPS facilities, and the NCPS core data center and facility costs.
- Intrusion Detection capabilities, which includes the elements of the intrusion detection system known as EINSTEIN 2 (Block 2.0). Block 2.0 enables the identification of potential malicious activity and traffic entering or exiting Federal networks using a signature-based intrusion detection technology. This capability allows US-CERT Operations analysts to acquire a better understanding of the network environment and increased ability to address network weaknesses and vulnerabilities.
- Analytics, which provides capabilities that support advanced analysis of NCPS traffic data. Analytics includes the Block 2.1 project that provides a Security Information and Event Management (SIEM) solution for the NCPS. The SIEM solution simplifies cyber analysis by aggregating similar events (thus reducing duplication), correlating related events (that might otherwise go unnoticed), and providing visualization capabilities (making it easier to see relationships). The Analytics capability also includes packet capture tools, a malware analysis lab, flow visualization tools, incident management and response tools, and high input/output databases that allow for the analysis of large data sets.
- Information Sharing and Collaboration, which develops capabilities to enhance NCPS's ability to securely share information across multiple stakeholders. Information Sharing and Collaboration includes the Block 2.2 project that will provide a secure environment for sharing cybersecurity information with a wide range of security operations and information sharing centers across Federal, State, local, tribal, private, and international boundaries. The objective of the information sharing capability is to prevent cybersecurity incidents from occurring through improved sharing of threat information, reduce the time to respond to incidents through improved coordination and collaboration capabilities, and improve efficiencies through the use of more automated information sharing and through the exposure of analysis capabilities. Additional activities under Information Sharing and Collaboration provide US-CERT Operations analysts with a common operating picture of the threat landscape of Federal Executive Branch civilian networks as generated from department and agency data sets, allowing for advanced visualization, analysis, and workflow capabilities.

- Intrusion Prevention, which represents the intrusion prevention system known as EINSTEIN 3 (Block 3.0). EINSTEIN 3 represents the next evolution of protection for Federal civilian departments and agencies by providing active network defense capabilities and the ability to prevent and limit malicious activities from penetrating Federal networks and systems. This intrusion prevention system will draw on commercial technology and specialized government technology to conduct intrusion prevention and threat-based decision making on network traffic entering or leaving Federal civilian networks. These technologies include intrusion prevention sensors and traffic aggregation points, referred to as Nests. This capability also includes the communications infrastructure that links the intrusion prevention system with the rest of the NCPS.
- Program Planning and Operations, which provides NSD with program management and program office operations support services that are common across all NCPS capability areas. These services include contracts oversight, financial management, life-cycle cost estimating, strategic and technical planning and assessment functions, and NSD Front Office support services. These activities ensure that all of the NCPS’s capabilities are coordinated and delivered effectively and efficiently and continue to evolve to meet ever-changing cyber threats.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Cybersecurity  
U.S. CERT Operations  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: U.S. CERT Operations**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	<b>165</b>	<b>150</b>	<b>79,116</b>
2013 Adjustments-to-Base	-	15	(1,449)
<b>2013 Current Services</b>	<b>165</b>	<b>165</b>	<b>77,667</b>
2013 Program Change	23	12	15,335
<b>2013 Total Requested Budget Authority</b>	<b>188</b>	<b>177</b>	<b>93,002</b>
Total Change 2012 to 2013	23	27	13,886

NPPD requests \$93.002 million for US-CERT Operations, including 188 FTP/177 FTE. This is an increase of \$13.886 million and 23 FTP/27 FTE (due to the annualization of prior year positions) over FY 2012 and includes the following adjustments to base:

- Increase of \$0.075 million for the 2013 pay increase
- Decrease of \$0.029 million to partially offset the 2013 pay increase
- Decrease of \$1.495 million for DHS management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>US-CERT Operations</b>	<b>165</b>	<b>150</b>	<b>20,056</b>	<b>59,060</b>	<b>79,116</b>	<b>188</b>	<b>177</b>	<b>21,932</b>	<b>71,070</b>	<b>93,002</b>
Operations	105	94	12,607	25,836	38,443	128	117	14,455	31,601	46,056
Coordination & Integration	28	28	3,747	21,658	25,405	28	28	3,761	26,261	30,022
Technology & Readiness Planning	32	28	3,702	11,566	15,268	32	32	3,716	13,208	16,924
<b>TOTAL</b>	<b>165</b>	<b>150</b>	<b>20,056</b>	<b>59,060</b>	<b>79,116</b>	<b>188</b>	<b>177</b>	<b>21,932</b>	<b>71,070</b>	<b>93,002</b>

US-CERT Operations is the operational arm of the National Cyber Security Division (NCSD). Its primary functions include analyzing and reducing cyber threats and vulnerabilities, disseminating cyber threat warning information to public and private sector partners, coordinating with government and industry partners to achieve shared cyber situational

awareness of the Nation's cyber critical infrastructure, providing response and recovery support for national assets, and advising senior leadership on national-level cybersecurity policy and guidance.

US-CERT Operations improves national efforts to address threats and incidents affecting the Nation's critical information technology assets and cyber infrastructure and serves as a key component of the National Cyber Incident Response Plan (NCIRP). US-CERT Operations leads cross-sector efforts to improve the Nation's cybersecurity posture, coordinates cyber information sharing, and manages cyber risks to the Nation while protecting constitutional liberties. US-CERT Operations' mission space includes Federal civilian agencies; DOD; the intelligence community; State, local and tribal governments; private sector partners; critical infrastructure owners and operators; and international partners, as well as the general public.

US-CERT Operations activities provide immediate customer support and incident response, including 24x7x365 support to the NCCIC, which has connectivity to all major Federal cyber operations centers, industry, international, and communications partners. Its analysts examine raw and summarized data from a wide variety of information sources to make determinations about potential attacks detected by NCPS. US-CERT Operations also maintains a 24x7 Operations Center that provides situational awareness and risk mitigation information and support for Federal Government customers and the general public.

US-CERT Operations is comprised of the following three areas:

- Operations, which identifies, triages, and analyzes cyber activity to rapidly develop and disseminate mitigation and risk management strategies. It also ensures that DHS is represented during operational planning and during the planning and implementation of technology development programs. Operations is divided into Incident Management, Detection and Analysis, and Digital Analytics.
- Coordination and Integration, which builds and manages trusted relationships to share information and coordinate with constituents to facilitate shared situational awareness and better protect assets against cyber threats. Coordination and Integration is divided into Coordination and Communications.
- Technology and Readiness Planning, which develops plans, processes, and technology requirements to advance US-CERT Operations towards its strategic vision and ensure that US-CERT matures in a coordinated and strategic fashion in response to a dynamic, operational environment. It also manages and coordinates organizational resources that are critical to the increasing responsibilities of US-CERT Operations' mission.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Communications  
Priority Telecommunications Services  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Priority Telecommunications Services**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>41</b>	<b>55</b>	<b>57,143</b>
<b>2012 Enacted Budget Authority</b>	<b>40</b>	<b>40</b>	<b>56,074</b>
2013 Adjustments-to-Base	10	10	(2,788)
<b>2013 Current Services</b>	<b>50</b>	<b>50</b>	<b>53,286</b>
<b>2013 Total Requested Budget Authority</b>	<b>50</b>	<b>50</b>	<b>53,286</b>
Total Change 2012 to 2013	10	10	(2,788)

NPPD requests \$53.286 million for this activity, including 50 FTP/50 FTE. This is a decrease of \$2.788 million from FY 2012 Enacted and includes the following adjustments to base:

- Increase of \$0.020 million for the 2013 pay increase
- Increase of \$0.046 million for GSA rent
- Decrease of \$0.101 million in savings from DHS Balanced Workforce contractor conversions
- Decrease of \$0.780 million in savings from additional contractor conversions
- Decrease of \$0.006 million to partially offset the 2013 pay increase
- Decrease of \$1.428 million for DHS Management efficiencies
- Decrease of \$0.539 million as a reduction based on historical carryover amounts

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Priority Telecommunications Service</b>	<b>40</b>	<b>40</b>	<b>5,253</b>	<b>50,821</b>	<b>56,074</b>	<b>50</b>	<b>50</b>	<b>6,673</b>	<b>46,613</b>	<b>53,286</b>
GETS	1	1	140	19,268	19,408	1	1	141	18,741	18,882
Government/Industry Programs and Management	1	1	140	1,603	1,743	3	3	421	20	440
NCS GSA Rent	0	0	0	2,956	2,956	0	0	0	3,003	3,003
PTS Salaries and Benefits	37	37	4,833		4,833	37	37	4,851	0	4,851
SRAS	0	0	0	2,267	2,267	0	0	0	2,267	2,267
Wireless Priority Service	1	1	140	24,727	24,867	9	9	1,261	22,583	23,843
<b>Grand Total</b>	<b>40</b>	<b>40</b>	<b>5,253</b>	<b>50,821</b>	<b>56,074</b>	<b>50</b>	<b>50</b>	<b>6,673</b>	<b>46,613</b>	<b>53,286</b>



Priority Telecommunications Services (PTS) ensures the availability of national security and emergency preparedness (NS/EP) communications during efforts to prevent, respond to, and recover from threatened and actual terrorist attacks, major disasters, and other emergencies, even when conventional communications services are congested or degraded. PTS significantly enhances call completion capabilities for national leadership, other national security and emergency preparedness users, and first responders through the capabilities provided by the following three PTS activities:

*Government Emergency Telecommunications Service (GETS).* A nationwide landline telephone telecommunications service enabling priority communications for the President; Federal, State, and local governments; and authorized industry organizations by providing priority voice calling via the existing public switched telephone network. GETS supports NS/EP telecommunications requirements, including Continuity of Operations (COOP), for responding to and recovering from natural and man-made disasters for over 275,000 users.

*Wireless Priority Service (WPS).* A nationwide cellular service providing end-to-end priority calls via selected commercial national and regional wireless carriers, which includes GETS interoperability to enhance the probability of call completion. WPS coverage is maintained in the Nation's five nationwide wireless carriers (Verizon Wireless, AT&T, Sprint, Nextel, and T-Mobile) as well as a number of regional carriers. These carriers provide coverage to 97 percent of the United States population.

*Special Routing Arrangement Service (SRAS).* The SRAS provides selected users with the highest level of nontraceable priority calls during times of severe public network congestion or when disruption may result from acts of war.

*The Government Industry Planning & Management (GIP&M) Branch* within PTS executes the following priorities:

- Manages the President's National Security Telecommunications Advisory Committee (NSTAC) under Executive Order 12382
- Manages the Committee of Principals under Executive Order 12472
- Manages the Communications Sector under HSPD-7
- Manages the Network Security Information Exchanges
- Serves as the Public Affairs Coordinator for the NCS, including external affairs, website management, and FOIA compliance

The GIP&M Branch manages relationships with key government and industry representatives across the Communications Sector and other critical infrastructure sectors to assure information-sharing among stakeholders and planning for all hazards response to disruptions of communications infrastructure and services. GIP&M coordinates sector partners to reduce risk by managing activities that include producing studies, moderating forums, and providing administrative support to presidential advisory committees. GIP&M also supports sector partners, including government and industry, to jointly identify and implement solutions to sector vulnerabilities.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Communications  
Next Generation Networks  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Next Generation Networks**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>20,986</b>
<b>2012 Enacted Budget Authority</b>	<b>2</b>	<b>1</b>	<b>25,253</b>
2013 Adjustments-to-Base	-	1	-
<b>2013 Current Services</b>	<b>2</b>	<b>2</b>	<b>25,253</b>
2013 Program Change	-	-	(5,253)
<b>2013 Total Requested Budget Authority</b>	<b>2</b>	<b>2</b>	<b>20,000</b>
Total Change 2012 to 2013	-	1	(5,253)

In FY 2013, NPPD requests \$20.000 million for this activity, including 2 FTP/2 FTE. This is a decrease of \$5.253 million from FY 2012 and includes the following adjustments to base:

- Increase of \$0.001 million for the 2013 pay increase
- Decrease of \$0.001 million to offset the 2013 pay increase

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Next Generation Networks</b>	2	1	140	25,113	23,253	2	2	281	19,719	20,000
Next Generation Networks	2	1	140	25,113	25,253	2	2	281	19,719	20,000
<b>TOTAL</b>	2	1	140	25,113	25,253	2	2	281	19,719	20,000

- The National Communications System’s Next Generation Network (NGN) Priority Services program was established to address the ramifications of continuously evolving technology in the communications industry.

Traditional national security and emergency preparedness telecommunications services are designed around the legacy circuit-switched infrastructure of the public switched telephone network. Public networks are now merging with packet-switched infrastructures and converging into an NGN. As this evolution continues, national security and emergency preparedness telecommunications services will

be guided by commercial standards and technologies based on packet-switching Internet Protocol (IP)-based networks. Wireless public networks have also become increasingly vital during national security and emergency preparedness events.

The NGN Priority Services program will allow NCS to phase out the current circuit-based priority features and functions of the PTS program and transition to Internet Protocol/packet-based networks. This will enable NCS to leverage highly survivable commercially-owned public switched network assets in order to provide a robust and diverse nationwide communications capability and support response and recovery coordination efforts and programs such as COOP and Continuity of Government (COG) to ensure that essential government functions and operations are carried out.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Communications**  
**Programs to Study & Enhance Telecommunications**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Programs to Study & Enhance Telecommunications**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>28</b>	<b>24</b>	<b>16,164</b>
<b>2012 Enacted Budget Authority</b>	<b>28</b>	<b>28</b>	<b>13,441</b>
2013 Adjustments-to-Base	2	2	(497)
<b>2013 Current Services</b>	<b>30</b>	<b>30</b>	<b>12,944</b>
2013 Program Change	3	3	6,650
<b>2013 Total Requested Budget Authority</b>	<b>33</b>	<b>33</b>	<b>19,594</b>
Total Change 2012 to 2013	5	5	6,153

NPPD requests \$19.594 million for this activity, including 33 FTP/33 FTE. This is an increase of \$6.153 million over FY 2012 and includes the following adjustments to base:

- Increase of \$0.014 million for the 2013 pay increase
- Decrease of \$0.098 million in savings from DHS Balanced Workforce contractor conversions
- Decrease of \$0.005 million to partially offset the 2013 pay increase
- Decrease of \$0.408 million for DHS Management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Programs to Study &amp; Enhance Telecommunications</b>	<b>28</b>	<b>28</b>	<b>3,727</b>	<b>9,714</b>	<b>13,441</b>	<b>33</b>	<b>33</b>	<b>4,455</b>	<b>15,139</b>	<b>19,594</b>
Classified Program	0	0	0	1,432	1,432	0	0	0	1,132	1,132
CWIN	0	0	0	0	0	3	3	434	6,216	6,650
Modeling, Analysis & Tech.	0	0	0	6,175	6,175	2	2	280	5,684	5,964
NS/EP Standards	0	0	0	2,107	2,107	0	0	0	2,107	2,107
PSET Salaries and Benefits	28	28	3,727	0	3,727	28	28	3,741	0	3,741
<b>Grand Total</b>	<b>28</b>	<b>28</b>	<b>3,727</b>	<b>9,714</b>	<b>13,441</b>	<b>33</b>	<b>33</b>	<b>4,455</b>	<b>15,139</b>	<b>19,594</b>

The Programs to Study and Enhance Telecommunications (PSET) PPA supports the development of studies, standards, and assessments of communications infrastructures. It includes the following activities:

*The Modeling, Analysis, and Technical Assessment (MATA)* team’s mission is to predict and mitigate the effect of communications failures on the national leadership’s ability to communicate during times of crisis. MATA provides specialized modeling and analyses of current and future protocols, algorithms, network designs, and capabilities that will impact priority service communications in legacy and Next Generation Networks. The modeling team’s analysis tools are used throughout NCS. The tools provide critical infrastructure and key resource risk assessments for the communications sector in the event of a man-made or natural disaster or assist in restoration and recovery efforts. MATA provides technical assistance to DHS Office of Policy for the Committee on Foreign Investment in the United States and Team Telecom in support of the Federal Communications Commission (FCC).

*The National Security and Emergency Preparedness Standards* team works with national and international industry standards organizations to ensure that evolving communications standards address the technical requirements of national security and emergency preparedness communications. The team performs responsibilities under Presidential Executive Order 12472, which directs the NCS to consider the development of evolving industry consensus standards with respect to national security and emergency preparedness communications. The team adheres to the policy put forth in OMB Circular A-119 that “...directs agencies to use voluntary consensus standards in lieu of government-unique standards except where inconsistent with law or otherwise impractical.”

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Communications  
Critical Infrastructure Protection  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Critical Infrastructure Protection**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>29</b>	<b>22</b>	<b>14,169</b>
<b>2012 Enacted Budget Authority</b>	<b>40</b>	<b>36</b>	<b>11,352</b>
2013 Adjustments-to-Base	-	4	(374)
<b>2013 Current Services</b>	<b>40</b>	<b>40</b>	<b>10,978</b>
<b>2013 Total Requested Budget Authority</b>	<b>40</b>	<b>40</b>	<b>10,978</b>
Total Change 2012 to 2013	-	4	(374)

NPPD requests \$10.978 million for this activity, including 40 FTP / 40 FTE. This is a decrease of \$0.374 million over FY 2012 Enacted and includes the following adjustments to base:

- Increase of \$0.018 million for the 2013 pay increase
- Decrease of \$0.007 million to partially offset the 2013 pay increase
- Decrease of \$0.385 million for DHS management efficiencies

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Critical Infrastructure Protection Programs</b>	<b>40</b>	<b>36</b>	<b>4,677</b>	<b>6,675</b>	<b>11,352</b>	<b>40</b>	<b>40</b>	<b>4,695</b>	<b>6,283</b>	<b>10,978</b>
CIP Operations, Plans & Policy	2	1	140	1,206	1,346	2	2	141	817	958
CIP Salaries and Benefits	29	29	3,697	0	3,697	29	29	3,711	0	3,711
NCC Operations	8	5	700	3,836	4,536	8	8	703	3,833	4,536
NSIE	0	0	0	392	392	0	0	0	392	392
Training & Exercises	0	0	0	691	691	0	0	0	691	691
TSP	1	1	140	550	690	1	1	140	550	690
<b>Grand Total</b>	<b>40</b>	<b>36</b>	<b>4,677</b>	<b>6,675</b>	<b>11,352</b>	<b>40</b>	<b>40</b>	<b>4,695</b>	<b>6,283</b>	<b>10,978</b>

Critical Infrastructure Protection (CIP) ensures the continued availability of NS/EP telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution. CIP performs analyses on the communication infrastructure; ensures continuity planning and operational support are in place; conducts Title Globe continuity communications testing

and certification training for communications emergency response personnel; and produces operational procedures, policies, and support tools. CIP is comprised of the following activities:

*National Coordinating Center (NCC) Operations* is a joint industry-government body providing a mechanism to respond to NS/EP telecommunications incidents. The NCC provides 24x7 real-time situational awareness during the initiation, coordination, restoration, and reconstitution of NS/EP telecommunications services or facilities under all conditions, crises, or emergencies. The NCC is the primary mechanism within the National Communications System for executing Emergency Support Function (ESF) #2 (Communications) under NRF during an incident. The NCC Watch is co-located with US-CERT. The NCC also administers the SHARed RESources (SHARES) high-frequency radio program, which is a network of approximately 1,500 high-frequency radio stations forming a nationwide emergency message-handling network.

*Operations, Plans, and Policy* provides telecommunication analyses during both emergency preparation and actual disaster response operations, and also is responsible for assessing the national continuity communications system.

*Training and Exercises* ensures the NCS has a cadre of more than 100 emergency response personnel prepared to respond across the spectrum of crises and emergencies. In response to the recommendations of the *Hurricane Katrina After Action Report*, the NCS is enhancing its readiness for emergency response operations with an increased tempo of training and exercises for multiagency personnel with ESF #2 collateral duties.

*National Security Information Exchanges (NSIE)* supports two bodies. The Government Network Security Information Exchange represents Federal departments and agencies that have research, standards, regulatory, law enforcement, or intelligence functions related to the public network, or Departments and agencies that are major telecommunications users. The President's NSTAC NSIE provides a trusted environment in which industry and Government representatives exchange information on threats to and vulnerabilities of the public network.

*The Telecommunications Service Priority (TSP)* activity was established by an FCC Report and Order 88-341 in 1988. TSP is the regulatory, administrative, and operational system authorizing and providing for priority treatment of NS/EP telecommunications services. The TSP program provides NS/EP users with priority restoration and provisioning of telecommunications services vital to maintaining readiness or response to an incident. As a result of hurricanes, floods, earthquakes, and other natural or man-made incidents, telecommunications service vendors may become overwhelmed with requests for new telecommunications services and requirements to restore existing telecommunications services. The TSP activity provides service vendors with an FCC mandate for prioritizing service requests by identifying those services critical to national security and emergency preparedness.

**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Communications**  
**Office of Emergency Communications**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Office of Emergency Communications**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	<b>52</b>	<b>48</b>	<b>40,481</b>
<b>2012 Enacted Budget Authority</b>	<b>62</b>	<b>62</b>	<b>43,495</b>
2013 Adjustments-to-Base	3	3	(4,806)
<b>2013 Current Services</b>	<b>65</b>	<b>65</b>	<b>38,689</b>
<b>2013 Total Requested Budget Authority</b>	<b>65</b>	<b>65</b>	<b>38,689</b>
Total Change 2012 to 2013	3	3	(4,806)

In FY 2013, NPPD requests \$38.689 million for this activity, including 65 FTP/65 FTE. This is a decrease of \$4.806 million from FY 2012 Enacted and includes the following adjustments to base:

- Increase of \$0.035 million for the 2013 pay increase
- Increase of \$0.017 million for GSA rent inflation
- Decrease of \$0.150 million in savings from DHS Balanced Workforce contractor conversions
- Decrease of \$0.013 million to partially offset the FY 2013 pay increase
- Decrease of \$3.146 million for DHS management efficiencies
- Decrease of \$1.550 million as a reduction based on historical carryover amounts

**CURRENT SERVICES PROGRAM DESCRIPTION:**

	FY 2012 Enacted					FY 2013 Request				
	FTP	FTE	S&B	Program	Total	FTP	FTE	S&B	Program	Total
<b>Office of Emergency Communications</b>	<b>62</b>	<b>62</b>	<b>9,226</b>	<b>34,269</b>	<b>43,495</b>	<b>65</b>	<b>65</b>	<b>9,681</b>	<b>29,008</b>	<b>38,689</b>
Federal Communications Services	14	14	1,865	7,547	9,412	14	14	1,872	4,203	6,075
Multi-Jurisdictional Communications Services	30	30	4,942	15,911	20,853	20	20	3,213	13,229	16,442
Office of the Director	8	8	1,146	4,104	5,250	8	8	1,150	4,086	5,236
Policy Planning & Analysis	10	10	1,273	6,707	7,980	11	11	1,444	6,728	8,173
Regional Coordination	0	0	0	0	0	12	12	2,000	762	2,763
<b>Grand Total</b>	<b>62</b>	<b>62</b>	<b>9,226</b>	<b>34,269</b>	<b>43,495</b>	<b>65</b>	<b>65</b>	<b>9,681</b>	<b>29,008</b>	<b>38,689</b>

The Office of Emergency Communications (OEC) is responsible for supporting and promoting continuing communications for emergency responders and government officials in the event of natural



disasters, acts of terrorism, or other man-made disasters, and working to ensure, accelerate, and attain interoperable and operable emergency communications nationwide. OEC serves as the coordination point for interoperable communications policies and holds key responsibilities, such as its leadership role in the development and implementation of the National Emergency Communications Plan (NECP). OEC was established pursuant to Title XVIII of the Homeland Security Act of 2002, as amended, and mandated under the Post-Katrina Emergency Management Reform Act of 2006 to support the communications ability of emergency response providers and relevant government officials in the event of natural disasters, acts of terrorism, and other man-made disasters and foster the development of interoperable emergency communications capabilities by State, regional, local, and tribal governments and public safety agencies.

Emergency communications encompasses operability, interoperability, and the continuity of communications across a full range of current and future voice, data, and video information exchange capabilities. OEC is committed to ensuring that emergency response personnel at all levels of government and across all disciplines can communicate as needed, on demand, and as authorized. To achieve this vision, OEC developed six key strategic goals to improve emergency communications and support the goals of DHS:

*Goal 1:* Foster coordination between Federal, State, local, tribal, and private sector Emergency Communications stakeholders.

*Goal 2:* Improve emergency communications capabilities through targeted interaction with Federal, State, local, and tribal agencies.

*Goal 3:* Target Federal grants to the most critical emergency communications needs of States and localities in alignment with the National Emergency Communications Plan.

*Goal 4:* Develop policies and plans guiding, promoting, and enhancing efforts to improve emergency communications nationwide.

*Goal 5:* Develop innovative methods to address emergency communications gaps.

*Goal 6:* Create a unified OEC headquarters and regional staff committed to ensuring programmatic success.

The four divisions that report to the OEC Director and carry out OEC's mission and programmatic responsibilities are as follows:

*Policy, Planning, and Analysis* identifies and assesses interoperable emergency communications capabilities and drives Federal grants to meet emergency responders' requirements and needs.

*Multi-Jurisdictional Communications Services (MCS)* establishes and administers OEC's efforts to advance State, local, tribal, and multi-jurisdictional interoperable emergency communications capabilities. Through the Interoperable Communications Technical Assistance Program, OEC develops and delivers training, tools, and onsite assistance to State, tribal, and local agencies in order to advance the implementation of the National Emergency Communications Plan and public safety interoperable emergency communications capabilities. Through the SAFECOM program and the National Council of Statewide Interoperability Coordinators, OEC develops tools, best practices, and methodologies used by emergency response agencies to enhance their interoperability efforts.

*Federal Communications Services* engages with Federal departments/agencies to improve emergency communications capabilities, including policy development, investment planning, and direct assistance.

*Regional Coordination Program* strengthens emergency communications capabilities across Federal, State, local, and tribal governments at the regional level through trusted relationships, collaboration, and knowledge sharing.

Business Operations also oversees the implementation of national cybersecurity policies and ensures appropriate resources are available to support its mission and specialized information technology systems.

## IV. Program Justification Changes

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Cybersecurity Capability Improvements  
PPA: Federal Network Security  
Program Increase: Positions 0, FTE 0, Dollars \$202,046

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	202,046
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>202,046</b>

**Description of Item**

This program change will enable the National Cyber Security Division’s Federal Network Security (FNS) branch and Federal agencies to significantly improve the Federal cybersecurity posture. This funding will support continuous monitoring at high-priority Federal agencies, improving the common operating picture of threats to the civilian Federal cyber network, and ensuring that vulnerabilities are resolved more quickly. FNS manages activities designed to enable Departments and Agencies to secure their systems and networks. It provides a single, accountable focal point for achieving cyber infrastructure security and compliance throughout the Federal enterprise. It also provides an efficient means of prioritizing cybersecurity improvements across the Federal civilian sector.

The funding will directly support Federal Executive Branch civilian Departments and Agencies in implementing capabilities that will improve their cybersecurity posture in accordance with the Federal Information Security Management Act (FISMA), enable improved continuous monitoring at Departments and Agencies, and support other critical and high priority cybersecurity capabilities to thwart advanced persistent threats in a dynamic threat environment. As the EINSTEIN program deploys initial intrusion prevention operating capability, it is equally important for Departments and Agencies to know what is happening on their own networks and to ensure that information is provided to DHS to enable a robust defense of Federal civilian networks from continuously evolving cyber threats.

## **Justification**

In OMB Memorandum 10-28, DHS is designated as the “primary responsibility within the Executive Branch for the operational aspects of Federal agency cybersecurity with respect to the Federal information systems that fall within the Federal Information Security Management Act (FISMA).” Securing civilian agencies’ systems is an Administration priority, as set forth by the following: presidential directives, President’s Management Council agenda, and OMB memoranda (Performance Management Agenda, FISMA reform, M-08-05, M-08-16, and the empowerment of CIOs.)

While there has been progress<sup>1</sup> in maturing Department and Agency cybersecurity posture over the past two years, one of the most common barriers to more rapid implementation cited by Federal Department and Agency chief information officers (CIO) and chief information security officers (CISO) is the ability to deploy sufficient resources to address the persistent and dynamic cyber threat.

This funding will help speed the maturity of continuous monitoring capabilities at Federal Executive Branch civilian agencies. In doing so, it will also improve the common operating picture of risks across Federal Executive Branch civilian cyber networks and ensure that vulnerabilities are mitigated more quickly.

Additional funding will allow Federal Executive Branch civilian Departments and Agencies to implement high-priority<sup>2</sup> cybersecurity defensive capabilities. Combined with deployment of the EINSTEIN program, these resources will ensure that cyber attacks can be resolved more quickly and similar attacks will be less successful in the future.

A major attribute of cybersecurity posture is the ability of Departments and Agencies to monitor the status of their own networks and deliver data feeds to DHS, which then can provide situational awareness across the Federal enterprise. DHS will use data feeds from continuous monitoring capabilities established inside Departments’ and Agencies’ networks in order to assess their compliance with FISMA and the overall vulnerability of the Federal enterprise. DHS will provide funding to Departments and Agencies to procure and deploy continuous monitoring capabilities that will produce automated data feeds for agency use in mitigating vulnerabilities. The proposed legislative language in the President’s Budget provides clear authority to enable these transfers, and includes a provision requiring proactive reporting to Congress before these transfers take place.

FNS will allocate funding to the highest priority cybersecurity vulnerabilities. FNS will use its assessment of cybersecurity risk as informed by quarterly FISMA reporting and onsite assessments during FY 2011 and FY 2012 and US-CERT threat information to inform the allocation of resources. With this funding, FNS will identify the agencies with the most significant vulnerabilities, and target the provision of capabilities at those most at risk. DHS will work with the Departments and Agencies to leverage the funding for maximum benefit. In most cases, funding will be provided to procure, deploy, configure, and manage the necessary security capabilities. Departments and Agencies then will be required to deliver agency cybersecurity operational reports to DHS as part of the FISMA compliance program. However, in some cases, especially where pooling of requirements provides more benefit to Departments and Agencies – i.e., bulk software license purchases – DHS may conduct

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<sup>1</sup> Based on measurements by FISMA and DHS-led assessments.

<sup>2</sup> Based on threats to the Federal government as observed by NCSD’s US-CERT.

strategic sourcing efforts to centrally procure tools and/or services on behalf of the Departments and Agencies. Federal Network Security anticipates that it would begin executing these resources 3-4 months after an appropriation is received.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

The additional funding will speed Executive branch compliance with FISMA, particularly continuous monitoring, improve the common operating picture for cyber threats, and strengthen Federal civilian Executive branch agencies cyber defenses to align with operating capabilities deployed under EINSTEIN. Specifically, this funding will address the following:

**Continuous Monitoring:** Continuous Monitoring provides the Departments and Agencies with real-time awareness of the state of their computers and networks. A well-designed and well-managed continuous monitoring program can effectively create a dynamic process that provides essential, near real-time security status-related information in order to take appropriate risk mitigation actions and make cost-effective, risk-based decisions regarding the operation of an agency's information systems. A continuous monitoring program allows an organization to track the security state of an information system on an ongoing basis and maintain the security authorization for the system over time. A continuous monitoring system allows an agency to understand the security state its information systems, which is essential in highly dynamic environments of operation with changing threats, vulnerabilities, technologies, and mission/business processes.

- The continued cooperation between DHS and other Agencies also correlates to the GPRA Modernization Act, which requires a move from the production of static, printed agency performance plans and reports to more dynamic, accessible, and useful online performance information. Moving from thousands of pages of printed documents to a more central, consolidated program list will make it easier for Congress and the public to understand what DHS and other Federal agencies do and how they are performing from a cybersecurity perspective. Automated data feeds fit perfectly into this model and allow for increased cost and timesaving measures.
- The formalization of DHS's current role in managing cybersecurity for the Federal Government's civilian computers and networks fully integrates performance improvement officers with FNS leadership and technical experts. This is critical for effective risk management and mitigation, while mapping future requirements for a more secure cyber environment across the Federal Government.

**TIC Capabilities and Deployment:** Full development and deployment of internet gateway monitoring capabilities, such as EINSTEIN, email gateway inspection, web proxy traffic, intrusion detection, and firewall blocking. These activities support TIC architecture, improve agencies' defensive posture, and provide them with the ability to monitor their gateway traffic and deliver data feeds to DHS for additional analysis.

- In accordance with OMB Memorandum M-08-05, all agencies should have identified external connections. Appendix A of the "TIC Reference Architecture" clarifies the definition of external connection. This information was used to establish the starting baseline for the TIC Initiative. All agencies should maintain up-to-date inventories of their external connections,

including service provider, cost, location, capacity, and traffic volumes throughout the TIC Initiative (DHS.gov).

- Continual and dynamic Plans of Actions and Milestones are also necessary to provide solutions to existing issues and outline preparations for next-generation capabilities. This includes steps toward the operational maturity of TIC Access Providers and supporting continual quality assurance with: document controls, inventories of required information, and compliance with OMB Memorandum M-08-16.
- Email filtering, sandboxing, and authentication have been specifically identified to mitigate against spear-phishing and other advanced threats. Email threats are one of the main vectors by which our adversaries compromise our systems. Therefore, ensuring a standardized level of security to external network connections, including the Internet, helps meet the goals as set forth in the TIC Initiative (OMB Memorandum M-08-05).

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** National Cyber Security Protection System Blocks 2.2 & 3.0  
PPA: Network Security Deployment  
Program Increase: Positions 18, FTE 9, Dollars \$116,879

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							73	73	228,167
Program Increase							18	9	116,879
<b>Total Request</b>	-	-	-	<b>73</b>	<b>72</b>	<b>229,000</b>	<b>91</b>	<b>82</b>	<b>345,046</b>

**Description of Item**

The National Cybersecurity Protection System (NCPS), operationally known as EINSTEIN, is an integrated system of intrusion detection, analytics, intrusion prevention, and information sharing capabilities that is used to defend the Federal civilian Government’s information technology (IT) infrastructure from cyber threats. NCPS consists of the hardware, software, supporting processes, training, and services that are being developed and acquired to support the Department’s mission requirements under the Comprehensive National Cybersecurity Initiative (CNCI).

Network Security Deployment (NSD) is structured into six program activities. Intrusion Detection includes the elements of the intrusion detection system known as EINSTEIN 2 (Block 2.0). Analytics provides capabilities that support advanced analysis of NCPS traffic data and includes the Block 2.1 project that provides a Security Information and Event Management solution for NCPS. Information Sharing provides collaboration capabilities that will enhance NCPS’s ability to share information securely across multiple stakeholders and includes the Block 2.2 project that will augment the visualization of Department and Agency threat information and an advanced mechanism for information sharing and collaboration, tiered to support multiple user communities. Intrusion Prevention includes elements of the intrusion prevention system known as EINSTEIN 3 (Block 3.0). EINSTEIN 3 represents the next evolution of protection for Federal civilian Departments and Agencies by providing active network defense capabilities and the ability to prevent and limit malicious activities from penetrating Federal networks and systems. Core Infrastructure consists of the IT systems, communications infrastructure, and facilities that enable delivery of NCPS capabilities. NCPS’s core infrastructure includes all classification levels of the mission operating environment (MOE) used by US-CERT Operations analysts to access the information generated from NCPS operational systems, communications infrastructure that links NCPS facilities; and facilities used to

operate the NCPS. Program Planning and Operations provides NCPS's operations support services that are common across all NCPS capability areas. These services include contracts oversight, financial management, life cycle cost estimating, strategic and technical planning and assessment functions, and NSD Front Office support services. These activities ensure that all of NCPS's capabilities are coordinated and delivered effectively and efficiently and continue to evolve to meet ever-changing cyber threats.

This program change includes \$103.718 million to support the sustainment and expansion of intrusion prevention capabilities under NCPS Block 3.0 and \$13.161 million to develop information sharing capabilities under NCPS Block 2.2.

### **Justification**

NSD's intrusion prevention system represents the next evolution of protection for Federal civilian Departments and Agencies as it provides active network defense capabilities and the ability to prevent and limit malicious activities from penetrating Federal networks and systems. It will draw on commercial technology and specialized government technology to conduct intrusion prevention and threat-based decision making on network traffic entering or leaving Federal civilian networks. These technologies include intrusion prevention sensors and traffic aggregation points, referred to as Nests. NSD also will expand the NCPS communications infrastructure and operating environment to address the increased operational requirements of EINSTEIN 3.

In FY 2013, NSD will begin migrating from a Government-Off-the-Shelf (GOTS) solution to a Managed Security Service (MSS) approach for delivering intrusion prevention services. Under the MSS approach, each Internet service provider (ISP) will provide its own intrusion prevention services that will conform to certain security, assurance, and communication requirements provided by DHS. DHS will fund the ISPs to develop the two defined countermeasures, and later to develop the remainder of the planned countermeasures.

At Full Operating Capability (FOC), NCPS's intrusion prevention capabilities will be capable of providing coverage to more than 95 percent of major Federal civilian Departments and Agencies' Internet traffic. DHS estimates that FOC will require deployment of 19 intrusion prevention sensors at 14 Nest traffic aggregation locations at the ISPs. Full deployment of NCPS's intrusion prevention capabilities ensures maximum protection of Federal civilian Department and Agency networks against emerging cyber threats. This enhancement anticipates a planned FOC of intrusion prevention capabilities by the end of FY 2018. A DHS analysis has determined that, in the long term, an MSS approach is a more effective and efficient use of taxpayer dollars. The analysis is classified and can be provided under separate cover.

The enhancement to NCPS Block 3.0 includes maintenance of five GOTS sensors and traffic aggregation Nests (four of which will be funded through current services), which NSD plans to deploy between FY 2012 and FY 2013 (\$20.191 million), and the continued development of the classified instances of the MOE (\$2.646 million). It also includes the design and development of an MSS solution for the delivery of intrusion prevention capabilities including the development of three MSS traffic aggregation Nests (\$67.088 million). Furthermore, it includes an additional 14 FTP/7 FTE



(\$1.055 million) and increases to common program costs associated with the expanded capability (\$12.737 million).

Within current services funding, NSD will maintain the additional four GOTS sensors and traffic aggregation Nests, which the program plans to deploy between FY 2012 and FY 2013.

NSD also will fund the information sharing and collaboration capabilities under NCPS Block 2.2 to establish a common infrastructure framework that integrates a range of cyber mission information sharing applications, not only improving DHS's ability to respond to and mitigate cyber threats, but also its ability to share information across multiple stakeholders securely.

These capabilities will augment the visualization of Department and Agency threat information and provide an advanced mechanism for information sharing and collaboration, tiered to support multiple user communities. The information sharing capabilities that will be developed under Block 2.2 will establish a flexible infrastructure at multiple classification levels, allowing for the rapid exchange of cyber threat and cyber incident information among DHS cybersecurity analysts and their Federal and international cybersecurity partners. This infrastructure will consist of robust identity management, portal management, content management, real-time collaboration, visualization, discovery, data messaging, security guard, and content staging services. It also will facilitate the sharing of a wide range of data services, including commercial data feeds, internally generated analytic products, analytics tools, threat indicators and warnings, and real-time incident and continuous monitoring data.

Additionally, NCPS Block 2.2 will provide US-CERT Operations analysts with a common operating picture of the threat landscape of Federal Executive Branch civilian networks as generated from Department and Agency data sets, allowing for advanced visualization, analysis, and workflow capabilities. DHS also will provide an unclassified CyberScope application and a National Information Exchange Model Cyber Domain.

The enhancement requests \$13.161 million to develop these capabilities, including an additional 4 FTP/2 FTE.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

With additional funding, NSD will maintain the five Nests and intrusion prevention sensors deployed between FY 2012 and FY 2013. NSD also will develop and utilize an MSS solution for intrusion prevention services delivered by ISPs that will provide a more flexible and efficient solution for delivering intrusion prevention capabilities. By moving toward an MSS solution, DHS will be able to leverage industry innovation, which will result in a greatly improved set of capabilities that can be quickly deployed to address emerging threats, and that can be leveraged to protect broader customer bases beyond the Federal Government to include other potential stakeholders. The additional funding also will permit US-CERT Operations to improve the ability of its cybersecurity analysts to collaborate and develop a collective situational awareness of current and potential cyber threats as the implementation of the flexible and robust information sharing environment needed will be timely. US-CERT Operations' current information sharing capabilities are rudimentary and lack transparency to prevent and/or limit malicious activities from penetrating the Federal network environment. Delaying the implementation of this capability would handicap the ability of DHS to respond to and mitigate

cyber threats—ultimately perpetuating the number of incidents and the amount of time it takes to mitigate incidents.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** US-CERT Operations to Keep Pace with NCPS Capabilities  
PPA: US-CERT Operations  
Program Increase: Positions 23, FTE 12, Dollars \$15,335

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							165	165	77,621
Program Increase							23	12	15,335
<b>Total Request</b>	-	-	-	<b>165</b>	<b>150</b>	<b>79,116</b>	<b>188</b>	<b>177</b>	<b>92,956</b>

**Description of Item**

US-CERT Operations leads and coordinates efforts to improve the Nation’s cybersecurity posture, promote cyber information sharing, and manage the cyber risks posed to the Nation. As part of that mission, US-CERT Operations analyzes and reduces cyber threats and vulnerabilities; disseminates cyber threat warning information; coordinates with partners and customers to achieve shared cyber situational awareness of the Nation’s cyber critical infrastructure; provides response and recovery support for National assets; and advises on national-level cybersecurity policy and guidance. This request would allow US-CERT Operations to increase its analytic staff and support.

**Justification**

US-CERT Operations will increase its analytic capability, allowing it to fully utilize NCPS Block 3.0 and NCPS Block 2.2. Additionally, US-CERT would begin to staff DHS’s site at Corry Station in Pensacola, Florida.

The increasing volume and sophistication of cyber exploits increases the need for secure implementation of technology, coordinated incident response, and rapid recovery of critical functions. Moreover, with the implementation of NCPS Block 3.0, the volume of intrusion and malware information will increase significantly, and US-CERT’s analytic capacity must increase commensurately to ensure that new threats are identified and that signatures are added to NCPS. The increased analytic capability will help generate, implement, and monitor an array of countermeasures used by Block 3.0.

In 2013, US-CERT will begin staffing DHS’s site at Corry Station in Pensacola, Florida. This site will use a configuration that largely mirrors the capabilities of the main facility in the DC Metro area. The Corry Station facility is designed as a fully functional US-CERT facility with all network connectivity

and resources that are available at the Glebe Road facility. The facility will be an operational 24x7 site, co-located on a DOD installation in a DOD structure that currently conducts cybersecurity analyst training, with unclassified and classified space.

The facility is specifically designed to accommodate US-CERT analytical staff, malware lab capabilities, software and hardware testing labs, video conferencing ability, 24x7 help desk support, security operations center and network operations center support personnel. These capabilities and personnel will be co-located with the National Cybersecurity and Communications Integration Center (NCCIC) and NSD 24x7 network administration support personnel, and the National Coordinating Center radio room and space.

Building DHS staff at Corry Station will meet critical continuity of operations objectives, facilitate continued monitoring of the Federal networks, provide expanded capability to analyze malware, and support cross-sector information sharing in the event of a major disaster affecting US-CERT's operations based in the Washington, D.C. area.

### **Impact on Performance**

As US-CERT's protection and response responsibilities continue to grow, it must address the increasingly complex requirements necessary to build and enable the capabilities to respond, mitigate, and prevent malicious cyber activities. US-CERT's situational awareness across the cyber landscape must increase to adapt to the increasing new threats and vulnerabilities. With its current capabilities, US-CERT monitors a small proportion of the network traffic within the Federal Executive Branch and has limited visibility on the cyber health of the critical infrastructure. NCPS's enhancements and the integration of those technological enhancements into a coherent and integrated cybersecurity operation are vital to handling the increasingly large volume of network traffic US-CERT will be required to monitor and analyze.

Currently, US-CERT is not sufficiently staffed to process all this critical network traffic or to expand its incident response and technical support requirements. US-CERT's increased analytic capability will allow its analysts to process up to 31 percent more security data and incident alerts than at present, enhance training and professional development of its analytic workforce and expand its technical mentoring program, and increase the Federal presence on US-CERT's 24x7 operations floor by 23 FTP. The increase also would allow US-CERT to provide support for partners and information sharing, including MS-ISAC, and for the support of additional data and volume sources from CyberScope and the National Cyber Security Service pilot (DIB - Defense Industrial Base pilot).

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 4:** Support to the Multi-State Information Sharing and Analysis Center  
PPA: Critical Infrastructure Cyber Protection and Awareness  
Program Increase: Positions 0, FTE 0, Dollars \$4,891

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	1,607
Program Increase							-	-	4,891
<b>Total Request</b>	-	-	<b>2,480</b>	-	-	<b>1,607</b>	-	-	<b>6,498</b>

**Description of Item**

MS-ISAC is a collaborative State, local, territorial, and tribal (SLTT) government-focused cybersecurity organization that significantly enhances SLTT governments' ability to prevent, protect against, respond to, and recover from cyber attacks and compromises.

**Justification**

MS-ISAC provides a centralized forum for information sharing between the Federal Government and SLTT governments through a number of crucial services. MS-ISAC provides the opportunity to analyze information and correlation across its SLTT members, which then can be aggregated efficiently and shared with US-CERT, NCCIC, and their public and private sector partners without requiring Federal personnel resources. It will use a consolidation of services for 25 States, including hosting a 24x7x365 cybersecurity operations center, developing and rapidly distributing cybersecurity advisories and bulletins, and directly responding to and assisting MS-ISAC members with response to cyber incidents.

**Impact on Performance**

Additional funding for MS-ISAC will increase MSS to the planned additional five States. Additionally, it will ensure that the data, tools, and monitoring used for SLTT government networks are conducted similarly to what is deployed for Federal networks. US-CERT and the NCCIC will directly benefit from the centralized SLTT government information sharing mechanism.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 5:** Cybersecurity Evaluation Cyber Security Advisors Activity  
PPA: Critical Infrastructure Cyber Protection and Awareness  
Program Increase: Positions 2, FTE 1, Dollars \$145

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							8	8	6,634
Program Increase							2	1	145
<b>Total Request</b>	-	-	-	<b>8</b>	<b>7</b>	<b>6,634</b>	<b>10</b>	<b>9</b>	<b>6,779</b>

**Description of Item**

The Cybersecurity Evaluation Program conducts voluntary cyber security assessments across all 18 critical infrastructure and key resources sectors. It provides critical infrastructure and key resources sector participants with a portfolio of assessment tools, techniques, and analytics, ranging from those that can be self-applied to those that require expert facilitation or mentoring outreach and furthermore provides critical infrastructure and key resources participants and other policy stakeholders with regionally-placed liaison support, through its Cyber Security Advisor initiative.

Additional funding will allow for an additional 2 FTP/1 FTE for the Cybersecurity Evaluation Program’s Cyber Security Advisor (CSA) activity.

**Justification**

The CSA program represents a hands-on approach toward resilience of cyber CIKR throughout the Nation. The CSA program creates immediate and sustained assistance to State, local, and private sector efforts, bolstering the cybersecurity preparedness, risk mitigation, and incident response capabilities.

**Impact on Performance**

With the additional personnel, the Cybersecurity Evaluation Program will provide expanded and enhanced services to its CIKR partners through the CSA program, allowing DHS to continue to meet its requirements for the Nationwide Cyber Security Review (NCSR).

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 6:** Critical Infrastructure Warning Information Network (CWIN)  
PPA: Programs to Study & Enhance Telecommunications  
Program Increase: Positions 3, FTE 3, Dollars \$6,650

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							3	3	6,650
<b>Total Request</b>	-	-	-	-	-	-	<b>3</b>	<b>3</b>	<b>6,650</b>

**Description of Item**

The Critical Infrastructure Warning and Information Network (CWIN) is a contingency network with dedicated circuits and “thin” workstations, connecting DHS with key organizations responsible for restoring the packet-switched network (PSN) and the Internet if they are disrupted by a cyber attack. CWIN supports these priorities by providing protected voice and data between DHS and infrastructure partners to enable secure communication during significant incidents when the PSN and Internet are disrupted. CWIN provides voice and data connectivity via VoIP phones and data using thin client architecture for enhanced security. CWIN supports 160 client installations in Federal Departments and Agencies, all 50 States and the District of Columbia, and selected private sector owners and operators. CWIN is the only system that can provide out-of-band connectivity for DHS and its stakeholders.

**Justification**

CWIN remains a critical contingency capability for several DHS operations centers, including US-CERT and the National Infrastructure Coordination Center. Cyber Storm III found that a cyber attack could result in communications nodes and software patches no longer being trustworthy. This exercise confirmed the need for Government to have a mechanism to communicate trusted, reliable information to its critical infrastructure partners. CWIN provides a resilient means of communications between DHS, other government agencies, and critical private sector entities, particularly in the telecommunications, information technology, and electric sectors. This capability would enable the rapid restoration of normal communications if the Internet and PSN were disrupted by a cyber attack.

**Impact on Performance**

CWIN provides 24x7x365 voice and data paths to 160 client installations in Federal Departments and Agencies, all 50 States and the District of Columbia, and selected private sector owners and operators.

This capability would allow DHS to communicate with other government agencies and critical private sector entities after a disruption to the Internet and PSN, facilitating the restoration of critical services to the Nation.



**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Reduction to Cybersecurity Education National Initiative  
PPA: Global Cybersecurity Management  
Program Decrease: Positions 0, FTE 0, Dollars \$(2,010)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							8	8	14,878
Program Decrease							-	-	(2,010)
<b>Total Request</b>	-	-	-	<b>8</b>	<b>8</b>	<b>14,876</b>	<b>8</b>	<b>8</b>	<b>12,868</b>

**Description of Item**

Cybersecurity Education assists in the implementation of the National Initiative for Cybersecurity Education (NICE) by leading and coordinating efforts to improve the Nation’s cybersecurity education posture to ensure a robust, competent cybersecurity workforce. It also focuses on relationship building among public and private cybersecurity institutions with regard to education and workforce development, including the development, implementation, and promotion of nationwide standards to ensure consistent competency levels.

Cybersecurity Education will reduce support to three of NICE’s efforts: the National Institute for Cybersecurity Studies (NICS); the Cybersecurity Training and Career Roadmap; and the Individual Competency & Tracking System.

NICS is a web-based application designed to make cybersecurity education and training more accessible and enhance cybersecurity awareness, formal education and training, and career pursuit. The Cybersecurity Training and Career Roadmap tracks cyber-specific knowledge, skills, and abilities to relevant education and training opportunities. The Individual Competency and Tracking System will define the Federal Government’s cybersecurity workforce through personnel inventories.

This program change makes resources available for other cybersecurity priorities.

**Justification**

Funding made available by this reduction will serve to support higher-priority cybersecurity efforts, including EINSTEIN 3 and US-CERT.

## **Impact on Performance**

This program reduction will defer the full assessment of the national cybersecurity workforce by two years. The initial features of the NICS portal, including the ability to disseminate the specialty area framework that describes to the national audience, will not be available until FY 2015. Funding made available by this reduction will serve to support higher-priority cybersecurity efforts.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** SSA Management Project  
PPA: Sector Management and Governance  
Program Decrease: Positions 0, FTE 0, Dollars \$(2,000)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							107	86	24,177
Program Decrease							-	-	(2,000)
<b>Total Request</b>	<b>69</b>	<b>54</b>	<b>19,812</b>	<b>76</b>	<b>55</b>	<b>22,732</b>	<b>107</b>	<b>86</b>	<b>22,177</b>

**Description of Item**

This project change represents a \$2.0 million reduction to the overall Sector Specific Agency Management Project to ensure the highest priority capabilities are fully funded.

**Justification**

This reduction will be taken from a lower priority initiative that comprise work with the Chemical, Commercial Facilities, Critical Manufacturing, Dams, Nuclear, and Emergency Services sectors, and the Interagency Security Committee. For example, training will shift from in-person training to less expensive distance-learning vehicles where appropriate, more partner meetings will be held via videoconferencing and lower priority initiatives will be cancelled

**Impact on Performance**

Funding made available through this reduction will serve to increase performance in other Departmental priorities. Lower priority initiatives will be cancelled and efficiencies will be realized through the use of distance learning vehicles for training and the use of videoconferencing for partner meetings.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 3:** Incident Planning and Exercises  
PPA: Infrastructure Analysis and Planning  
Program Decrease: Positions 0, FTE 0, Dollars \$(7,814)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	7,814
Program Decrease							-	-	(7,814)
<b>Total Request</b>	<b>18</b>	<b>18</b>	<b>12,612</b>	<b>16</b>	<b>16</b>	<b>10,006</b>	-	-	-

**Description of Item**

No funding is requested for the Incident Planning project or contract spending in FY 2013 in order to fund higher priority efforts. The personnel in billets associated with the Incident Planning and Exercises (IPE) project will be transferred to other Infrastructure Protection (IP) programs.

**Justification**

The budget eliminates the IPE program as a discrete project in order to provide additional funding for priority efforts and transfers the Federal staff to other IP projects where the activities performed under IPE will continue to operate. The reduction will eliminate contract support for this effort, but the IP operations will not be affected by this change.

This reduction is expected to have a limited impact on IP and its stakeholders. Federal FTEs and salary and benefit dollars will be transferred to other IP projects where the activities performed under IPE will continue to operate.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 4:** Protective Security Advisors Project  
PPA: Regional Field Operations  
Program Decrease: Positions 0, FTE 0, Dollars \$(346)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							153	140	56,498
Program Decrease							-	-	(346)
<b>Total Request</b>	<b>157</b>	<b>137</b>	<b>64,211</b>	<b>165</b>	<b>152</b>	<b>57,367</b>	<b>153</b>	<b>140</b>	<b>56,152</b>

**Description of Item**

The Protective Security Advisor (PSA) Project provides comprehensive critical infrastructure protection capacity. PSAs deploy strategically across the United States to provide State and local communities with IP risk-reduction efforts and support response to all hazardous incidents, providing expertise on reconstituting critical infrastructure and surge capabilities to more effectively support threat-driven actions. They serve as the Department’s onsite critical infrastructure and vulnerability assessment specialists, while giving a local perspective to—and supporting the development of—the national risk picture by identifying, assessing, monitoring, and minimizing the risk to critical infrastructure at the State, local, and regional levels.

PSAs conduct Enhanced Critical Infrastructure Protection security surveys at critical infrastructure facilities to assess overall security postures and track the implementation of new or improved protective measures. They inform and educate facility owners and operators on the criticality of the facilities and related threats from terrorism, while forging strong relationships among Level 1 and Level 2 facility owners and operators; DHS; and Federal, State, and local law enforcement. They provide infrastructure security and resiliency expertise to government officials and their private sector counterparts who are responsible for security at mass gatherings, National Special Security Events, and high-level special events.

**Justification**

This reduction will be applied to lower priority geospatial analyst contract support. The program will reduce the number of geospatial analyst contractors by two. The workload of these two contractors will be absorbed by the remaining Federal staff and contract support in order to fund higher priority capabilities.

## **Impact on Performance**

Funding made available through this reduction will serve to increase performance in key Departmental priorities. The PSA project will still meet the most critical (Level 1 and Level 2) owners' and operators' requirements to receive recurring and ad hoc GIS materials, compile various types of geospatial information into map and data products, and analyze geospatial data from accumulated sources to respond to diverse questions in support of NSSEs and other events, incidents, and vulnerability reduction/resilience.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 5:** Defer Investment in Critical Infrastructure Technology and Analysis Tools  
PPA: Sector Management and Governance  
Program Decrease: Positions 0, FTE 0, Dollars \$(2,573)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							194	167	67,132
Program Decrease							-	-	(2,573)
<b>Total Request</b>	<b>204</b>	<b>174</b>	<b>82,214</b>	<b>170</b>	<b>143</b>	<b>74,219</b>	<b>194</b>	<b>167</b>	<b>64,559</b>

**Description of Item**

This program change represents a \$2.573 million reduction in non-personnel mission support funds to ensure the highest priority capabilities are fully funded to achieve core missions. The Critical Infrastructure Technology and Architecture (CITA) project’s development of a services-based architecture to facilitate interoperability and information sharing would be delayed without compromising the project’s primary mission. Additionally, in-person training for CI protection planning, Automated Critical Asset Management System (ACAMS) system use, and PCII understanding and awareness would be reduced or shifted to a distance education vehicle without a substantial impact on the quality of the training.

**Justification**

This reduction will be taken from a lower priority initiative that comprises development of IT architecture and in-person training. The impact will move development to future budget years.

**Impact on Performance (Relationship of Decrease to Strategic Goals)**

The reduction in development and training costs would enable CITA to deliver products and services to internal and external partners without a substantial impact on training or system development. Development efforts for capability enhancements would be reduced, and the focus would shift to sustainment or O&M of ACAMS IT systems. In-person training for CI protection planning, ACAMS system use, and PCII understanding and awareness would shift to distance learning vehicles.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 6:** Reduction to NCCIC  
PPA: Cybersecurity Coordination  
Program Decrease: Positions 0, FTE 0, Dollars \$(510)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							14	14	4,506
Program Decrease							-	-	(510)
<b>Total Request</b>	-	-	-	<b>14</b>	<b>14</b>	<b>4,500</b>	<b>14</b>	<b>14</b>	<b>3,996</b>

**Description of Item**

The Cybersecurity Coordination program integrates information from the six Federal cybersecurity centers to provide a fused view of cyber activity across the intelligence, defense, civil, and law enforcement/counterintelligence domains. The program supports operational activities to facilitate integration and activities at the Federal centers, an information system for online collaboration, and information technology support and enterprise capability for the centers. Cybersecurity Coordination also supports an increased number of private sector partners present in the NCCIC environment.

Cybersecurity Coordination will continue to strive to maximize support and information sharing with its partners.

**Justification**

Funding made available by this decrease will serve to support key cybersecurity priorities in FY 2013.

**Impact on Performance**

This minor reduction will have a minimal effect on performance due to other information sharing and coordination methods.



**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 7:** Defer Maintenance on Cybersecurity Facilities  
PPA: Business Operations  
Program Decrease: Positions 0, FTE 0, Dollars \$(5,449)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	6,199
Program Decrease							-	-	(5,449)
<b>Total Request</b>	-	-	-	-	-	<b>6,102</b>	-	-	<b>750</b>

**Description of Item**

The National Cyber Security Division will reduce physical upgrades and maintenance on its cybersecurity facilities.

**Justification**

Funding made available by this decrease will serve to support key cybersecurity and communications priorities in FY 2013.

**Impact on Performance**

This reduction is not expected to have an immediate impact on operations.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 8:** Next Generation Networks  
PPA: Next Generation Networks  
Program Decrease: Positions 0, FTE 0, Dollars \$(5,253)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							2	2	25,253
Program Decrease							-	-	(5,253)
<b>Total Request</b>	-	-	<b>20,986</b>	<b>2</b>	<b>1</b>	<b>25,253</b>	<b>2</b>	<b>2</b>	<b>20,000</b>

**Description of Item**

The Next Generation Networks (NGN) Priority Services program’s goal is to ensure National Security/Emergency Preparedness (NS/EP) telecommunications during an emergency as commercial telecommunications carriers modernize their networks. NS/EP communications currently are provided through Priority Telecommunications Service (PTS) services. However, commercial telecommunications networks are modernizing from the circuit-switched infrastructure upon which PTS services are based. The Next Generation Networks program is working with major commercial telecommunications carriers as they make the transition to Internet Protocol (IP)-based infrastructures to deploy features enabling (NS/EP) priority service. The NGN Priority Services program will ultimately deliver priority voice, video, and data communication services.

In FY 2013, the NGN Priority Services program will continue implementation of NS/EP priority voice service capabilities for the core in AT&T, Verizon Business, and Sprint networks as the carriers upgrade to IP-based infrastructures. In addition, the program will conduct planning that will support providing priority voice services for wireless users.

**Justification**

The reduction in funds will help the Department support high priority cybersecurity initiatives

**Impact on Performance**

The implementation of NGN Priority Services capability for the core networks will be delayed by one year due to information security contracts being rephrased to accommodate the decreased funding levels.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

**For necessary expenses for infrastructure protection and information security programs and activities, as authorized by title II of the Homeland Security Act of 2002 (6 U.S.C. 121 et seq.), [\$888,243,000] \$1,166,633,000, of which [\$200,000,000 shall remain available until September 30, 2013: Provided, That the Under Secretary for the National Protection and Programs Directorate shall submit a plan for expenditure for the National Cyber Security Division and the Office of Infrastructure Protection, to the Committees on Appropriations of the Senate and the House of Representatives, not later than 90 days after the date of enactment of this Act] \$402,000,000, to remain available until September 30, 2014, shall be available for Network Security Deployment and strengthening cybersecurity of federal executive branch civilian agencies: Provided, That, notwithstanding section 503 of this Act or section 1532 of title 31, United States Code, funds made available for the purpose of strengthening cybersecurity of federal executive branch civilian agencies may be transferred within the Department or to other Federal agencies for the same purpose as determined by the Secretary: Provided further, That no transfer described in the previous proviso shall occur until 15 days after the Committees on Appropriations of the Senate and the House of Representatives are notified of such transfer. (Department of Homeland Security Appropriations Act, 2012.)**

The proposed legislative language is necessary to most effectively improve the cybersecurity of Federal executive branch civilian agencies. This language is necessary to make these transfers because section 503 of this Act and section 1532 of title 31, United States Code, restricts the circumstances under which agencies may transfer funds between appropriation accounts. This language will ensure that Congress receives notification of transfers made for the purposes of cybersecurity improvements while giving the Department the flexibility to identify agencies with the highest need and transfer funds in an expedient manner.

The funding that will be available to transfer will be used to speed the maturity of continuous monitoring capabilities and allow Federal agencies to implement high-priority cybersecurity defensive capabilities, using a common assessment of cybersecurity risk to prioritize improvements and thus most effectively improve the Federal cybersecurity posture. Where appropriate, DHS will use strategic sourcing initiatives to leverage the buying power of the Federal Government to address these issues. However, Departments and Agencies are at varying stages in securing their own networks from cyber threats and tailored approaches for each agency may be required. The funding will directly support Federal Executive Branch civilian Departments and Agencies in implementing capabilities that will improve their cybersecurity posture in accordance with the Federal Information Security Management Act (FISMA).

In Office of Management and Budget (OMB) Memorandum 10-28, DHS is designated as the “primary responsibility within the Executive Branch for the operational aspects of Federal agency cybersecurity with respect to the Federal information systems that fall within the Federal Information Security Management Act (FISMA).”

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
 FY 2012 to FY 2013 Budget Change  
 (Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>1,135</b>	<b>915</b>	<b>833,057</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>1,251</b>	<b>1,151</b>	<b>888,243</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
Centralize IP business support functions	33	33	2,110
Consolidate Exercise, Training, and Evaluation	(24)	(24)	(7,695)
Consolidation Geospatial Analysts into the PSA Project	(13)	(13)	928
<b>Total, Transfers</b>	<b>(4)</b>	<b>(4)</b>	<b>(4,657)</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Annualization of FY 2012 Balanced Workforce	-	30	-
Annualization of FY 2012 Positions	-	15	-
FY 2013 GSA Rent	-	-	370
FY 2013 Pay Increase	-	-	590
<b>Total, Increases</b>	<b>-</b>	<b>45</b>	<b>960</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Additional Contractor Conversion Savings	8	8	(780)
DHS General TDY Travel Reduction	-	-	(1,372)
DHS PCS Moves Reduction	-	-	(144)
DHS Strategic Sourcing Initiative Savings	-	-	(284)
FY 2013 Balanced Workforce	35	35	(348)
OFPP Directed Purchasing Savings	-	-	(12,402)
Offset for FY 2013 Pay Increase	-	-	(225)
One-time Reduction Based on Carryover	-	-	(22,242)
Termination of one-time costs	-	-	(108)
<b>Total, Decreases</b>	<b>43</b>	<b>43</b>	<b>(37,903)</b>
<b>Total, Adjustments-to-Base</b>	<b>39</b>	<b>84</b>	<b>(41,599)</b>
<b>FY 2013 Current Services</b>	<b>1,290</b>	<b>1,235</b>	<b>846,642</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Critical Infrastructure Cyber Protection and Awareness	2	1	145
Critical Infrastructure Warning Information Network (CWIN)	3	3	6,650
Cybersecurity Capability Improvements	-	-	202,046
National Cyber Security Protection System Blocks 2.2 & 3.0	18	9	116,879
Support to the Multi-State Information Sharing and Analysis Center	-	-	4,891
US-CERT Operations to Fully Utilize NCPS Capabilities	23	12	15,335
<b>Total, Increases</b>	<b>46</b>	<b>25</b>	<b>345,946</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Critical Infrastructure Technology and Analysis Tools	-	-	(2,573)
Incident Planning and Exercises	-	-	(7,814)
Maintenance on Cybersecurity Facilities	-	-	(5,449)
NCCIC	-	-	(510)
National Initiative for Cybersecurity Education	-	-	(2,010)
Next Generation Networks	-	-	(5,253)
Protective Security Advisors Project	-	-	(346)
SSA Management Project	-	-	(2,000)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(25,955)</b>
<b>Total, Program Changes</b>	<b>46</b>	<b>25</b>	<b>319,991</b>
<b>FY 2013 Requested Budget Authority</b>	<b>1,336</b>	<b>1,260</b>	<b>1,166,633</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>85</b>	<b>109</b>	<b>278,391</b>

## C. Summary of Requirements

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security**  
Summary of Requirements  
(Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	1,135	915	833,057
<b>FY 2012 Enacted Budget Authority</b>	1,251	1,151	888,243
<b>Adjustments-to-Base</b>	-	-	-
Transfers	(4)	(4)	(4,657)
Increases	-	45	961
Decreases	43	43	(37,903)
<b>Total, Adjustments-to-Base</b>	39	84	(41,599)
<b>FY 2013 Current Services</b>	1,290	1,235	846,642
<b>Program Changes</b>	-	-	-
Increases	46	25	345,946
Decreases	-	-	(25,955)
<b>Total, Program Changes</b>	46	25	319,991
<b>FY 2013 Requested Budget Authority</b>	1,336	1,260	1,166,633
<b>FY 2012 to FY 2013 Total Change</b>	85	109	278,391

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Infrastructure Protection</b>	<b>681</b>	<b>626</b>	<b>295,452</b>	<b>8</b>	<b>8</b>	<b>(27,636)</b>	-	-	<b>(12,733)</b>	<b>689</b>	<b>634</b>	<b>255,083</b>	<b>8</b>	<b>8</b>	<b>(40,369)</b>
Infrastructure Security Compliance	253	242	93,348	-	-	(18,804)	-	-	-	253	242	74,544	-	-	(18,804)
Regional Field Operations	165	152	57,367	(12)	(12)	(523)	-	-	(346)	153	140	56,498	(12)	(12)	(869)
Sector Management and Governance	170	143	74,219	24	24	(2,514)	-	-	(4,573)	194	167	67,132	24	24	(7,087)
Infrastructure Analysis and Planning	93	89	70,518	(4)	(4)	(5,795)	-	-	(7,814)	89	85	56,909	(4)	(4)	(13,609)
<b>Cybersecurity</b>	<b>398</b>	<b>358</b>	<b>443,176</b>	<b>16</b>	<b>56</b>	<b>(5,499)</b>	<b>43</b>	<b>22</b>	<b>331,327</b>	<b>457</b>	<b>436</b>	<b>769,004</b>	<b>59</b>	<b>78</b>	<b>325,828</b>
Business Operations	33	33	11,568	-	-	108	-	-	(5,449)	33	33	6,227	-	-	(5,341)
Critical Infrastructure Cyber Protection and Awareness	37	28	60,000	-	9	(2,273)	2	1	5,036	39	38	62,763	2	10	2,763
Cybersecurity Coordination	14	14	4,500	-	-	5	-	-	(510)	14	14	3,995	-	-	(505)
Federal Network Security	53	42	35,000	16	27	(1,032)	-	-	202,046	69	69	236,014	16	27	201,014
Global Cybersecurity Management	23	19	23,992	-	4	(25)	-	-	(2,010)	23	23	21,957	-	4	(2,035)
Network Security Deployment	73	72	229,000	-	1	(833)	18	9	116,879	91	82	345,046	18	10	116,046
US-CERT Operations	165	150	79,116	-	15	(1,449)	23	12	15,335	188	177	93,002	23	27	13,886
<b>Communications</b>	<b>172</b>	<b>167</b>	<b>149,615</b>	<b>15</b>	<b>20</b>	<b>(8,465)</b>	<b>3</b>	<b>3</b>	<b>1,397</b>	<b>190</b>	<b>190</b>	<b>142,547</b>	<b>18</b>	<b>23</b>	<b>(7,068)</b>
Priority Telecommunications Services	40	40	56,074	10	10	(2,788)	-	-	-	50	50	53,286	10	10	(2,788)
Next Generation Networks	2	1	25,253	-	1	-	-	-	(5,253)	2	2	20,000	-	1	(5,253)
Programs to Study & Enhance Telecommunications	28	28	13,441	2	2	(497)	3	3	6,650	33	33	19,594	5	5	6,153
Critical Infrastructure Protection	40	36	11,352	-	4	(374)	-	-	-	40	40	10,978	-	4	(374)
Office of Emergency Communications	62	62	43,495	3	3	(4,806)	-	-	-	65	65	38,689	3	3	(4,806)
<b>Total</b>	<b>1,251</b>	<b>1,151</b>	<b>888,243</b>	<b>39</b>	<b>84</b>	<b>(41,600)</b>	<b>46</b>	<b>25</b>	<b>319,991</b>	<b>1,336</b>	<b>1,260</b>	<b>1,166,633</b>	<b>85</b>	<b>109</b>	<b>278,391</b>

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	108,434	117,648	123,412	5,764
11.3 Other than full-time permanent	1,626	2,352	2,463	111
11.5 Other personnel compensation	3,685	3,920	4,105	185
11.8 Special Service Pay	7	-	-	-
12.1 Benefits	30,381	32,942	34,500	1,558
<b>Total, Personnel and Other Compensation Benefits</b>	<b>144,133</b>	<b>156,862</b>	<b>164,480</b>	<b>7,618</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	9,696	9,832	7,752	(2,080)
22.0 Transportation of things	36	33	33	-
23.1 GSA rent	6,035	14,616	15,326	710
23.2 Other rent	1,278	1,694	1,376	(318)
23.3 Communications, utilities, and misc. charges	294	10,613	10,370	(243)
24.0 Printing	140	15	15	-
25.1 Advisory and assistance services	312,228	186,388	146,708	(39,680)
25.2 Other services	2,255	126,106	139,641	13,535
25.3 Purchases from Gov't accts.	286,449	238,310	217,307	(21,003)
25.4 O&M of facilities	1,222	14,200	9,003	(5,197)
25.7 Operation and maintenance of equipment	20,116	64,160	274,061	209,901
26.0 Supplies and materials	1,387	1,316	1,316	-
31.0 Equipment	32,175	61,009	171,265	110,256
32.0 Land & structures	6,311	-	-	-
41.0 Grants/Subsidies/Contributions	9,300	3,089	7,980	4,891
42.0 Insurance Claims and Indemnity	2	-	-	-
<b>Total, Other Object Classes</b>	<b>688,924</b>	<b>731,381</b>	<b>1,002,153</b>	<b>270,772</b>
<b>Total, Direct Obligations</b>	<b>833,057</b>	<b>888,243</b>	<b>1,166,633</b>	<b>278,390</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>833,057</b>	<b>888,243</b>	<b>1,166,633</b>	<b>278,390</b>
<b>Full-time Equivalents</b>	<b>915</b>	<b>1,151</b>	<b>1,260</b>	<b>109</b>



## F. Permanent Positions by Grade

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	20	20	21	1
GS-15	191	194	203	9
GS-14	352	393	408	15
GS-13	396	407	441	34
GS-12	133	193	217	24
GS-11	26	26	28	2
GS-10	1	1	1	-
GS-9	11	12	12	-
GS-8	3	3	3	-
GS-7	2	2	2	-
<b>Total Permanent Positions</b>	<b>1,135</b>	<b>1,251</b>	<b>1,336</b>	<b>85</b>
Unfilled Positions EOY	76	50	38	(12)
Total Permanent Employment EOY	1,059	1,201	1,298	97
Headquarters	746	949	980	31
U.S. Field	196	202	280	78
<b>Total, Infrastructure Protection and Information Security</b>	<b>942</b>	<b>1,151</b>	<b>1,260</b>	<b>109</b>
<b>Full-time Equivalents</b>	<b>915</b>	<b>1,151</b>	<b>1,260</b>	<b>109</b>
Average ES Salary	184,251	184,251	187,699	3,448
Average GS Salary	112,537	111,663	109,332	(2,331)
Average Grade	13	13	13	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Communications  
Office of Emergency Communications  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	5,634	6,920	7,261	341
11.3 Other than full-time permanent	-	138	145	7
11.5 Other personnel compensation	132	231	242	11
12.1 Benefits	1,625	1,937	2,033	96
<b>Total, Personnel and Compensation Benefits</b>	<b>7,391</b>	<b>9,226</b>	<b>9,681</b>	<b>455</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	997	1,437	1,329	(108)
22.0 Transportation of things	-	5	5	-
23.1 GSA rent	-	1,265	1,282	17
23.2 Other rent	74	-	24	24
23.3 Communications, utilities, and misc. charges	11	-	-	-
24.0 Printing	-	15	15	-
25.1 Advisory and assistance services	18,299	19,222	14,028	(5,194)
25.2 Other services	38	156	156	-
25.3 Purchases from Gov't accts.	11,938	11,764	11,764	-
25.4 O&M of facilities	2	320	320	-
25.7 Operation and maintenance of equipment	42	15	15	-
26.0 Supplies and materials	66	65	65	-
31.0 Equipment	1,623	5	5	-
<b>Total, Other Object Classes</b>	<b>33,090</b>	<b>34,269</b>	<b>29,008</b>	<b>(5,261)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>40,481</b>	<b>43,495</b>	<b>38,689</b>	<b>(4,806)</b>
<b>Full-time Equivalents</b>	<b>48</b>	<b>62</b>	<b>65</b>	<b>3</b>

### Office of Emergency Communications Mission Statement

OEC supports and promotes the ability of emergency response providers and Federal officials to continue to communicate in the event of natural disasters, acts of terrorism, or other man-made disasters, and to ensure, accelerate, and attain interoperable emergency communications nationwide.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	5,634	6,920	7,261	341
11.3 Other than full-time permanent	-	138	145	7
11.5 Other personnel compensation	132	231	242	11
12.1 Benefits	1,625	1,937	2,033	96
<b>Total, Salaries &amp; Benefits</b>	<b>7,391</b>	<b>9,226</b>	<b>9,681</b>	<b>455</b>

FY 2013 represents an increase of \$455,000 for salaries and benefits from FY 2012 to cover pay inflation of \$35,000 and salaries and benefits of \$420,000 for Balanced Workforce conversions of three FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$997</b>	<b>\$1,437</b>	<b>\$1,329</b>	<b>-\$108</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$108,000 from FY 2012 due to DHS general TDY reductions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>0</b>	<b>\$1,265</b>	<b>\$1,282</b>	<b>\$17</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. FY 2013 represents an increase of \$17,000 to cover additional space requirements and GSA rent inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$74</b>	<b>0</b>	<b>\$24</b>	<b>\$24</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents an increase of \$24,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$18,299</b>	<b>\$19,222</b>	<b>\$14,028</b>	<b>-\$5,194</b>

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$5,194,000 from FY 2012 due to Balanced Workforce conversions and reductions directed by OFPP.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Communications**  
**Critical Infrastructure Protection**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,434	3,508	3,522	14
11.3 Other than full-time permanent	2	70	70	-
11.5 Other personnel compensation	95	117	117	-
12.1 Benefits	649	982	986	4
<b>Total, Personnel and Compensation Benefits</b>	<b>3,180</b>	<b>4,677</b>	<b>4,695</b>	<b>18</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	234	310	210	(100)
23.2 Other rent	20	-	-	-
25.1 Advisory and assistance services	8,847	3,230	2,938	(292)
25.2 Other services	11	2,293	2,293	-
25.3 Purchases from Gov't accts.	1,838	750	750	-
26.0 Supplies and materials	39	54	54	-
31.0 Equipment	-	38	38	-
<b>Total, Other Object Classes</b>	<b>10,989</b>	<b>6,675</b>	<b>6,283</b>	<b>(392)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>14,169</b>	<b>11,352</b>	<b>10,978</b>	<b>(374)</b>
<b>Full-time Equivalents</b>	<b>22</b>	<b>36</b>	<b>40</b>	<b>4</b>

**Critical Infrastructure Protection Mission Statement**

The Critical Infrastructure Protection Programs ensure the continued availability of national security and emergency preparedness telecommunications services under all circumstances, including crisis or emergency, attack, recovery, and reconstitution.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,434	3,508	3,522	14
11.3 Other than full-time permanent	2	70	70	-
11.5 Other personnel compensation	95	117	117	-
12.1 Benefits	649	982	986	4
<b>Total, Salaries &amp; Benefits</b>	<b>3,180</b>	<b>4,677</b>	<b>4,695</b>	<b>18</b>

FY 2013 represents an increase of \$18,000 for salaries and benefits from FY 2012 to cover pay inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$234	\$310	\$210	-\$100

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$100,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$8,847	\$3,230	\$2,938	-\$292

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$292,000 decrease from FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Communications**  
**Programs to Study & Enhance Telecommunications**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,756	2,795	3,341	546
11.3 Other than full-time permanent	-	56	67	11
11.5 Other personnel compensation	63	93	111	18
12.1 Benefits	718	783	936	153
<b>Total, Personnel and Compensation Benefits</b>	<b>3,537</b>	<b>3,727</b>	<b>4,455</b>	<b>728</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	79	152	152	-
23.1 GSA rent	520	-	-	-
23.3 Communications, utilities, and misc. charges	-	-	223	223
25.1 Advisory and assistance services	10,362	8,653	7,861	(792)
25.2 Other services	14	-	-	-
25.3 Purchases from Gov't accts.	1,445	894	3,642	2,748
25.7 Operation and maintenance of equipment	-	-	3,246	3,246
26.0 Supplies and materials	12	15	15	-
31.0 Equipment	195	-	-	-
<b>Total, Other Object Classes</b>	<b>12,627</b>	<b>9,714</b>	<b>15,139</b>	<b>5,425</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>16,164</b>	<b>13,441</b>	<b>19,594</b>	<b>6,153</b>
<b>Full-time Equivalents</b>	<b>24</b>	<b>28</b>	<b>33</b>	<b>5</b>

**Programs to Study & Enhance Telecommunications Mission Statement**

Programs to Study and Enhance Telecommunications develops models and conducts technical analyses of public communications infrastructures and equipment, and identifies vulnerabilities in new communications technologies due to the Telecommunication Electromagnetic Disruptive Effects. It also works with the international communications industry standards organizations to ensure that evolving commercial standards address the technical requirements of national security and emergency communications.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,756	2,795	3,341	546
11.3 Other than full-time permanent	-	56	67	11
11.5 Other personnel compensation	63	93	111	18
12.1 Benefits	718	783	936	153
<b>Total, Salaries &amp; Benefits</b>	<b>3,537</b>	<b>3,727</b>	<b>4,455</b>	<b>728</b>

FY 2013 represents an increase of \$728,000 for salaries and benefits from FY 2012 to cover pay inflation of \$14,000 and salaries and benefits of \$714,000 for two Balanced Workforce conversion and three new FTEs for CWIN.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	0	0	\$223	\$223

Communications, utilities, and miscellaneous charges include all payments for rental or lease of IT equipment and services, postal services and rentals, and utility services. FY 2013 includes an increase of \$223,000 to maintain and operate the CWIN system.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$10,362	\$8,653	\$7,861	-\$792

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$792,000 from FY 2012. This decrease reflects reduced contract costs due to Balanced Workforce conversions and OFPP directed purchasing savings.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,445	\$894	\$3,642	\$2,748

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents an increase of \$2,748,000 over FY 2012 to maintain and operate the CWIN system.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	0	\$3,246	\$3,246

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 represents an increase of \$3,246,000 over FY 2012 to maintain and operate the CWIN system.



**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Communications**  
**Next Generation Networks**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	105	211	106
11.3 Other than full-time permanent	-	2	4	2
11.5 Other personnel compensation	-	4	7	3
12.1 Benefits	-	29	59	30
<b>Total, Personnel and Compensation Benefits</b>	-	<b>140</b>	<b>281</b>	<b>141</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	15	45	45	-
25.1 Advisory and assistance services	7,814	7,595	2,414	(5,181)
25.2 Other services	7	-	-	-
25.3 Purchases from Gov't accts.	13,147	2,153	1,940	(213)
26.0 Supplies and materials	3	18	18	-
31.0 Equipment	-	15,302	15,302	-
<b>Total, Other Object Classes</b>	<b>20,986</b>	<b>25,113</b>	<b>19,719</b>	<b>(5,394)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>20,986</b>	<b>25,253</b>	<b>20,000</b>	<b>(5,253)</b>
<b>Full-time Equivalents</b>	-	<b>1</b>	<b>2</b>	<b>1</b>

**Next Generation Networks Mission Statement**

Next Generation Networks Priority Service is a technology initiative to maintain and migrate legacy priority voice telecommunications services (Government Emergency Telecommunications Service and Wireless Priority Service) to the Next Generation Networks as the public switched network evolves from the circuit-based to Internet Protocol packet-based Next Generation Networks.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	105	211	106
11.3 Other than full-time permanent	-	2	4	2
11.5 Other personnel compensation	-	4	7	3
12.1 Benefits	-	29	59	30
<b>Total, Salaries &amp; Benefits</b>	-	<b>140</b>	<b>281</b>	<b>141</b>

FY 2013 includes \$281,000 for salaries and benefits for 2 FTE. The change includes an annualization of one FTE for \$140,000 and \$1,000 for the FY 2013 pay increase.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$7,814	\$7,595	\$2,414	-\$5,181

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$5,181,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$13,147	\$2,153	\$1,940	-\$213

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents a decrease of \$213,000 from FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Communications**  
**Priority Telecommunications Services**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	6,471	3,940	5,005	1,065
11.3 Other than full-time permanent	82	79	100	21
11.5 Other personnel compensation	179	131	166	35
12.1 Benefits	1,625	1,103	1,401	298
<b>Total, Personnel and Compensation Benefits</b>	<b>8,357</b>	<b>5,253</b>	<b>6,672</b>	<b>1,419</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	109	186	158	(28)
23.1 GSA rent	25	1,676	1,666	(10)
23.2 Other rent	9	34	90	56
23.3 Communications, utilities, and misc. charges	56	9,984	9,518	(466)
25.1 Advisory and assistance services	26,972	19,071	15,452	(3,619)
25.2 Other services	20	-	-	-
25.3 Purchases from Gov't accts.	21,401	3,566	3,426	(140)
25.7 Operation and maintenance of equipment	124	15,211	15,211	-
26.0 Supplies and materials	65	164	164	-
31.0 Equipment	-	929	929	-
32.0 Land & structures	5	-	-	-
<b>Total, Other Object Classes</b>	<b>48,786</b>	<b>50,821</b>	<b>46,614</b>	<b>(4,207)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>57,143</b>	<b>56,074</b>	<b>53,286</b>	<b>(2,788)</b>
<b>Full-time Equivalents</b>	<b>55</b>	<b>40</b>	<b>50</b>	<b>10</b>

**Priority Telecommunications Services Mission Statement**

Priority Telecommunications Service is specially designed telecommunications services to support the national security and emergency preparedness user community during natural or man-made disasters when conventional communications services are ineffective. In addition to enhancing critical infrastructure protection, these telecommunication services are used to coordinate response and recovery efforts and, in severe conditions, to assist with continuity activities.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	6,471	3,940	5,005	1,065
11.3 Other than full-time permanent	82	79	100	21
11.5 Other personnel compensation	179	131	166	35
12.1 Benefits	1,625	1,103	1,401	298
<b>Total, Salaries &amp; Benefits</b>	<b>8,357</b>	<b>5,253</b>	<b>6,672</b>	<b>1,419</b>

FY 2013 represents an increase of \$1,419,000 for salaries and benefits from FY 2012 to cover pay inflation of \$19,000 and salaries and benefits of \$1,400,000 for two Balanced Workforce conversions and eight additional contractor conversions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$109</b>	<b>\$186</b>	<b>\$158</b>	<b>-\$28</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a \$28,000 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$25</b>	<b>\$1,676</b>	<b>\$1,666</b>	<b>-\$10</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. FY 2013 represents a decrease of \$10,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$9</b>	<b>\$34</b>	<b>\$90</b>	<b>\$56</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents an increase of \$56,000 over FY 2012 due to inflation and changing space requirements.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$56</b>	<b>\$9,984</b>	<b>\$9,518</b>	<b>-\$466</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of IT equipment and services, postal services and rentals, and utility services. FY 2013 represents a \$466,000 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$26,972</b>	<b>\$19,071</b>	<b>\$15,452</b>	<b>-\$3,619</b>

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$3,619,000 decrease in costs from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$21,401	\$3,566	\$3,426	-\$140

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents a \$140,000 decrease from FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**US-CERT Operations**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	15,042	16,449	1,407
11.3 Other than full-time permanent	-	301	329	28
11.5 Other personnel compensation	-	501	548	47
12.1 Benefits	-	4,212	4,606	394
<b>Total, Personnel and Compensation Benefits</b>	-	<b>20,056</b>	<b>21,932</b>	<b>1,876</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	183	103	(80)
23.1 GSA rent	-	904	979	75
23.2 Other rent	-	108	33	(75)
23.3 Communications, utilities, and misc. charges	-	7	7	-
25.1 Advisory and assistance services	-	7,907	6,463	(1,444)
25.2 Other services	-	29,745	43,279	13,534
25.3 Purchases from Gov't accts.	-	4,398	4,398	-
25.7 Operation and maintenance of equipment	-	15,758	15,758	-
26.0 Supplies and materials	-	50	50	-
<b>Total, Other Object Classes</b>	-	<b>59,060</b>	<b>71,070</b>	<b>12,010</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>79,116</b>	<b>93,002</b>	<b>13,886</b>
<b>Full-time Equivalents</b>	-	<b>150</b>	<b>177</b>	<b>27</b>

**US-CERT Operations Mission Statement**

US-CERT Operations is the operational arm of the National Cyber Security Division (NCSD). Its primary functions include analyzing and reducing cyber threats and vulnerabilities, disseminating cyber threat warning information to public and private sector partners, coordinating with government and industry partners to achieve shared cyber situational awareness of the Nation's cyber critical infrastructure, providing response and recovery support for national assets, and advising senior leadership on national-level cybersecurity policy and guidance.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	15,042	16,449	1,407
11.3 Other than full-time permanent	-	301	329	28
11.5 Other personnel compensation	-	501	548	47
12.1 Benefits	-	4,212	4,606	394
<b>Total, Salaries &amp; Benefits</b>	-	<b>20,056</b>	<b>21,932</b>	<b>1,876</b>

FY 2013 includes \$21,932,000 for salaries and benefits for 177 FTE, which represents an increase of \$1,876,000 over FY 2012. The change includes a program enhancement of 23 FTP/12 FTE for keeping pace with the implementation of NCPS capabilities.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$183	\$103	-\$80

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$80,000 from FY 2012 due to DHS general TDY reductions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$904	\$979	\$75

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 represents an increase of \$75,000 above FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$108	\$33	-\$75

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents a decrease of \$75,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$7,907	\$6,463	-\$1,444

Advisory and assistance services include service acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$1,444,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$29,745	\$43,279	\$13,534

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 represents an increase of \$13,534,000 over FY 2012 to keep pace with NCPS capability implementation.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Network Security Deployment**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	7,370	8,416	1,046
11.3 Other than full-time permanent	-	147	168	21
11.5 Other personnel compensation	-	246	281	35
12.1 Benefits	-	2,064	2,356	292
<b>Total, Personnel and Compensation Benefits</b>	-	<b>9,827</b>	<b>11,221</b>	<b>1,394</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	280	124	(156)
23.1 GSA rent	-	3,356	3,632	276
23.2 Other rent	-	400	124	(276)
23.3 Communications, utilities, and misc. charges	-	311	311	-
25.1 Advisory and assistance services	-	16,588	15,874	(714)
25.2 Other services	-	64,043	64,043	-
25.3 Purchases from Gov't accts.	-	55,901	55,901	-
25.4 O&M of facilities	-	8,673	8,673	-
25.7 Operation and maintenance of equipment	-	26,429	62,002	35,573
26.0 Supplies and materials	-	100	100	-
31.0 Equipment	-	43,092	123,041	79,949
<b>Total, Other Object Classes</b>	-	<b>219,173</b>	<b>333,825</b>	<b>114,652</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>229,000</b>	<b>345,046</b>	<b>116,046</b>
<b>Full-time Equivalents</b>	-	<b>72</b>	<b>82</b>	<b>10</b>

**Network Security Deployment Mission Statement**

Network Security Deployment is responsible for the development, acquisition, deployment, operations, and maintenance of NCPS, operationally known as EINSTEIN. NCPS is an integrated system of intrusion detection, analytics, intrusion prevention, and information sharing capabilities that are used to defend Federal civilian D/As' IT infrastructure from cyber threats.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	7,370	8,416	1,046
11.3 Other than full-time permanent	-	147	168	21
11.5 Other personnel compensation	-	246	281	35
12.1 Benefits	-	2,064	2,356	292
<b>Total, Salaries &amp; Benefits</b>	-	<b>9,827</b>	<b>11,221</b>	<b>1,394</b>



FY 2013 includes \$11,221,000 of salaries and benefits for 82 FTE, which represents an increase of \$1,394,000 from FY 2012. The change includes a program enhancement of 18 FTP/9 FTE for accelerating intrusion prevention (NCPS Block 3.0) and information sharing (NCPS Block 2.2).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$280	\$124	-\$156

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$156,000 from FY 2012 due to DHS general TDY reductions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$3,356	\$3,632	\$276

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 represents an increase of \$276,000 over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$400	\$124	-\$276

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents a decrease of \$276,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$16,588	\$15,874	-\$714

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$714,000 below FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	\$26,429	\$62,002	\$35,573

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 represents an increase of \$35,573,000 above FY 2012 for NCPS implementation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	0	\$43,092	\$123,041	\$79,949

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 represents an increase of \$79,949,000 over FY 2012 for NCPS capability implementation.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Global Cybersecurity Management**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	2,034	2,042	8
11.3 Other than full-time permanent	-	41	41	-
11.5 Other personnel compensation	-	68	68	-
12.1 Benefits	-	569	571	2
<b>Total, Personnel and Compensation Benefits</b>	-	<b>2,712</b>	<b>2,722</b>	<b>10</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	231	200	(31)
23.1 GSA rent	-	326	353	27
23.2 Other rent	-	39	12	(27)
25.1 Advisory and assistance services	-	13,991	11,977	(2,014)
25.2 Other services	-	1,506	1,506	-
25.3 Purchases from Gov't accts.	-	3,077	3,077	-
26.0 Supplies and materials	-	50	50	-
41.0 Grants/Subsidies/Contributions	-	2,060	2,060	-
<b>Total, Other Object Classes</b>	-	<b>21,280</b>	<b>19,235</b>	<b>(2,045)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>23,992</b>	<b>21,957</b>	<b>(2,035)</b>
<b>Full-time Equivalents</b>	-	<b>19</b>	<b>23</b>	<b>4</b>

**Global Cybersecurity Management Mission Statement**

Global Cyber Security Management develops and promulgates sound practices for software developers, IT security professionals, and other CIKR stakeholders. It also addresses the need to build a skilled cyber workforce for today and tomorrow and provides a set of comprehensive resources that can be used to appropriately manage supply chain risk across the lifecycle of networks, systems, and components.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	2,034	2,042	8
11.3 Other than full-time permanent	-	41	41	-
11.5 Other personnel compensation	-	68	68	-
12.1 Benefits	-	569	571	2
<b>Total, Salaries &amp; Benefits</b>	-	<b>2,712</b>	<b>2,722</b>	<b>10</b>

FY 2013 includes \$2,722,000 for salaries and benefits for 23 FTE, which represents an increase of \$10,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$231	\$200	-\$31

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$31,000 from FY 2012 due to DHS general TDY reductions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$326	\$353	\$27

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 represents an increase of \$27,000 over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$39	\$12	-\$27

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents a decrease of \$27,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$13,991	\$11,977	-\$2,014

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$2,014,000 below FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Federal Network Security**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	4,406	4,422	16
11.3 Other than full-time permanent	-	88	88	-
11.5 Other personnel compensation	-	146	147	1
12.1 Benefits	-	1,234	1,238	4
<b>Total, Personnel and Compensation Benefits</b>	-	<b>5,874</b>	<b>5,895</b>	<b>21</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	274	228	(46)
23.1 GSA rent	-	446	483	37
23.2 Other rent	-	53	16	(37)
23.3 Communications, utilities, and misc. charges	-	144	144	-
25.1 Advisory and assistance services	-	4,030	3,022	(1,008)
25.2 Other services	-	21,864	21,865	1
25.3 Purchases from Gov't accts.	-	1,117	1,117	-
25.7 Operation and maintenance of equipment	-	650	172,389	171,739
31.0 Equipment	-	548	30,855	30,307
<b>Total, Other Object Classes</b>	-	<b>29,126</b>	<b>230,119</b>	<b>200,993</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>35,000</b>	<b>236,014</b>	<b>201,014</b>
<b>Full-time Equivalents</b>	-	<b>42</b>	<b>69</b>	<b>27</b>

**Federal Network Security Mission Statement**

Federal Network Security manages activities designed to enable departments and agencies to secure their systems and networks. It provides a single, accountable focal point for achieving cyber infrastructure security and compliance throughout the Federal enterprise.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	4,406	4,422	16
11.3 Other than full-time permanent	-	88	88	-
11.5 Other personnel compensation	-	146	147	1
12.1 Benefits	-	1,234	1,238	4
<b>Total, Salaries &amp; Benefits</b>	-	<b>5,874</b>	<b>5,895</b>	<b>21</b>

FY 2013 includes \$5,895,000 for salaries and benefits for 69 FTE, which represents an increase of \$21,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$274	\$228	-\$46

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$46,000 from FY 2012 due to DHS general TDY reductions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$446	\$483	\$37

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 represents an increase of \$37,000 above FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$53	\$16	-\$37

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents a decrease of \$37,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$4,030	\$3,022	-\$1,008

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$1,008,000 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$21,864	\$21,865	\$1

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 represents an increase of \$1,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	\$650	\$172,389	\$171,739

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 represents an increase of \$171,739,000 over FY 2012 to significantly improve the Federal cybersecurity posture by funding continuous monitoring at high-priority Federal agencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>0</b>	<b>\$548</b>	<b>\$30,855</b>	<b>\$30,307</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 represents a \$30,307,000 increase over FY 2012 to significantly improve the Federal cybersecurity posture by funding continuous monitoring at high-priority Federal agencies.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Cybersecurity Coordination**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	1,845	1,852	7
11.3 Other than full-time permanent	-	37	37	-
11.5 Other personnel compensation	-	61	61	-
12.1 Benefits	-	517	519	2
<b>Total, Personnel and Compensation Benefits</b>	-	<b>2,460</b>	<b>2,469</b>	<b>9</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	75	75	-
23.1 GSA rent	-	31	31	-
23.2 Other rent	-	4	4	-
25.1 Advisory and assistance services	-	1,377	863	(514)
25.2 Other services	-	106	106	-
25.3 Purchases from Gov't accts.	-	285	285	-
25.7 Operation and maintenance of equipment	-	152	152	-
26.0 Supplies and materials	-	10	10	-
<b>Total, Other Object Classes</b>	-	<b>2,040</b>	<b>1,526</b>	<b>(514)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>4,500</b>	<b>3,995</b>	<b>(505)</b>
<b>Full-time Equivalents</b>	-	<b>14</b>	<b>14</b>	-

**Cybersecurity Coordination Mission Statement**

The Cybersecurity Coordination program integrates information from the six Federal cybersecurity centers to provide a fused view of cyber activity across the intelligence, defense, civil, and law enforcement/counterintelligence domains. The program supports operational activities to facilitate integration and activities at the Federal centers, an information system for online collaboration, and IT support and enterprise capability for the centers. Cybersecurity Coordination also supports an increased number of private sector partners present in the NCCIC environment.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	1,845	1,852	7
11.3 Other than full-time permanent	-	37	37	-
11.5 Other personnel compensation	-	61	61	-
12.1 Benefits	-	517	519	2
<b>Total, Salaries &amp; Benefits</b>	-	<b>2,460</b>	<b>2,469</b>	<b>9</b>

FY 2013 includes \$2,469,000 in salaries and benefits for 14 FTE, which represents an increase of \$9,000 over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$1,377	\$863	-\$514

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$514,000 decrease of costs below FY 2012 to fund higher priority cybersecurity and communications efforts.



**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Critical Infrastructure Cyber Protection and Awareness**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	2,987	3,107	120
11.3 Other than full-time permanent	-	60	62	2
11.5 Other personnel compensation	-	100	104	4
12.1 Benefits	-	836	870	34
<b>Total, Personnel and Compensation Benefits</b>	-	<b>3,983</b>	<b>4,143</b>	<b>160</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	2,059	2,027	(32)
23.1 GSA rent	-	858	928	70
23.2 Other rent	-	102	32	(70)
25.1 Advisory and assistance services	-	23,122	20,866	(2,256)
25.2 Other services	-	3,061	3,061	-
25.3 Purchases from Gov't accts.	-	25,736	25,736	-
26.0 Supplies and materials	-	50	50	-
41.0 Grants/Subsidies/Contributions	-	1,029	5,920	4,891
<b>Total, Other Object Classes</b>	-	<b>56,017</b>	<b>58,620</b>	<b>2,603</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>60,000</b>	<b>62,763</b>	<b>2,763</b>
<b>Full-time Equivalents</b>	-	<b>28</b>	<b>38</b>	<b>10</b>

**Critical Infrastructure Cyber Protection and Awareness Mission Statement**

Critical Infrastructure Cyber Protection and Awareness collaborates with the public and private sectors to assess and mitigate risk to the Nation's cyber critical infrastructure and key resources and promotes cybersecurity awareness among and within the general public and key communities, maintains relationships with governmental cybersecurity professionals to share information about cybersecurity initiatives, and develops partnerships to promote collaboration on cybersecurity issues.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	2,987	3,107	120
11.3 Other than full-time permanent	-	60	62	2
11.5 Other personnel compensation	-	100	104	4
12.1 Benefits	-	836	870	34
<b>Total, Salaries &amp; Benefits</b>	-	<b>3,983</b>	<b>4,143</b>	<b>160</b>

FY 2013 includes \$4,143,000 for salaries and benefits for 38 FTE, which represents an increase of \$160,000 from FY 2012. The change includes a program enhancement of 2 FTP/1 FTE to support regional/local cybersecurity efforts.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$2,059	\$2,027	-\$32

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents a decrease of \$32,000 from FY 2012 due to DHS general TDY reductions.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$858	\$928	\$70

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 represents an increase of \$70,000 over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$102	\$32	-\$70

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents a decrease of \$70,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$23,122	\$20,866	-\$2,256

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$2,256,000 from FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Cybersecurity**  
**Business Operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	3,314	3,326	12
11.3 Other than full-time permanent	-	66	67	1
11.5 Other personnel compensation	-	110	111	1
12.1 Benefits	-	928	931	3
<b>Total, Personnel and Compensation Benefits</b>	-	<b>4,418</b>	<b>4,435</b>	<b>17</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	150	150	-
23.1 GSA rent	-	109	118	9
23.2 Other rent	-	14	101	87
25.1 Advisory and assistance services	-	933	676	(257)
25.2 Other services	-	647	647	-
25.4 O&M of facilities	-	5,197	-	(5,197)
26.0 Supplies and materials	-	100	100	-
<b>Total, Other Object Classes</b>	-	<b>7,150</b>	<b>1,792</b>	<b>(5,358)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>11,568</b>	<b>6,227</b>	<b>(5,341)</b>
<b>Full-time Equivalents</b>	-	<b>33</b>	<b>33</b>	-

**Business Operations Mission Statement**

Business Operations supports NCSO leadership by establishing policies and direction to sustain overall cybersecurity strategy and planning through effective integration of resource and financial management, human capital, facilities, performance management, policy development and implementation, information and personnel security, and strategic planning. Business Operations also oversees the implementation of national cybersecurity policies and ensures appropriate resources are available to support its mission and specialized information technology systems.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	3,314	3,326	12
11.3 Other than full-time permanent	-	66	67	1
11.5 Other personnel compensation	-	110	111	1
12.1 Benefits	-	928	931	3
<b>Total, Salaries &amp; Benefits</b>	-	<b>4,418</b>	<b>4,435</b>	<b>17</b>

FY 2013 includes \$4,435,000 for salaries and benefits for 33 FTE, which represents an increase of \$17,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$109	\$118	\$9

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 represents an increase of \$9,000 over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	0	\$14	\$101	\$87

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents an increase of \$87,000 over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$933	\$676	-\$257

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a decrease of \$257,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	0	\$5,197	0	-\$5,197

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal account. FY 2013 represents a decrease of \$5,197,000 from FY 2012 to fund higher priority cybersecurity and communications activities.

**Department of Homeland Security  
National Protection & Programs Directorate  
Infrastructure Protection and Information Security  
Infrastructure Protection  
Infrastructure Analysis and Planning  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	8,175	8,714	8,374	(340)
11.3 Other than full-time permanent	6	174	167	(7)
11.5 Other personnel compensation	392	290	278	(12)
12.1 Benefits	2,387	2,440	2,337	(103)
<b>Total, Personnel and Compensation Benefits</b>	<b>10,960</b>	<b>11,618</b>	<b>11,156</b>	<b>(462)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	558	600	-	(600)
23.2 Other rent	-	290	290	-
23.3 Communications, utilities, and misc. charges	5	10	10	-
25.1 Advisory and assistance services	17,305	22,000	17,106	(4,894)
25.2 Other services	1,481	790	790	-
25.3 Purchases from Gov't accts.	46,321	34,875	27,222	(7,653)
25.7 Operation and maintenance of equipment	-	100	100	-
26.0 Supplies and materials	93	60	60	-
31.0 Equipment	92	175	175	-
<b>Total, Other Object Classes</b>	<b>65,855</b>	<b>58,900</b>	<b>45,753</b>	<b>(13,147)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>76,815</b>	<b>70,518</b>	<b>56,909</b>	<b>(13,609)</b>
<b>Full-time Equivalents</b>	<b>61</b>	<b>89</b>	<b>85</b>	<b>(4)</b>

**Infrastructure Analysis and Planning Mission Statement**

Infrastructure Analysis and Planning includes projects and activities that support the identification, prioritization, and protection of the Nation's CIKR, as well as the assessment of CIKR vulnerabilities, consequences, and risks. The program collects vulnerability assessments and consequence information required to produce comprehensive asset and system risk assessments. These CIKR protection assessments enable the analysis of interdependencies and cascading effects. The program provides strategic coordination, capabilities analysis, and information sharing to public and private stakeholders, including local law enforcement agencies, to combat the improvised explosive device threat to the Homeland.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	8,175	8,714	8,374	(340)
11.3 Other than full-time permanent	6	174	167	(7)
11.5 Other personnel compensation	392	290	278	(12)
12.1 Benefits	2,387	2,440	2,337	(103)
<b>Total, Salaries &amp; Benefits</b>	<b>10,960</b>	<b>11,618</b>	<b>11,156</b>	<b>(462)</b>

FY 2013 includes \$11,156,000 for salaries and benefits for 85 FTE, which represents a decrease of \$462,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$558	\$600	0	-\$600

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 reflects a \$600,000 decrease from the FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$17,305	\$22,000	\$17,106	-\$4,894

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$4,894,000 decrease from FY 2012 due to the Balanced Workforce initiative.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$46,321	\$34,875	\$27,222	-\$7,653

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents a decrease of \$7,653,000 from FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Infrastructure Protection**  
**Sector Management and Governance**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	17,625	14,228	16,721	2,493
11.3 Other than full-time permanent	353	285	334	49
11.5 Other personnel compensation	588	474	556	82
12.1 Benefits	4,935	3,984	4,670	686
<b>Total, Personnel and Compensation Benefits</b>	<b>23,501</b>	<b>18,971</b>	<b>22,281</b>	<b>3,310</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	597	650	650	-
22.0 Transportation of things	2	2	2	-
23.1 GSA rent	5,490	5,645	5,854	209
23.2 Other rent	135	150	150	-
23.3 Communications, utilities, and misc. charges	50	65	65	-
24.0 Printing	25	-	-	-
25.1 Advisory and assistance services	27,882	18,000	11,018	(6,982)
25.2 Other services	70	1,600	1,600	-
25.3 Purchases from Gov't accts.	22,611	27,426	23,802	(3,624)
25.4 O&M of facilities	-	10	10	-
25.7 Operation and maintenance of equipment	1,423	1,100	1,100	-
26.0 Supplies and materials	192	250	250	-
31.0 Equipment	236	350	350	-
<b>Total, Other Object Classes</b>	<b>58,713</b>	<b>55,248</b>	<b>44,851</b>	<b>(10,397)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>82,214</b>	<b>74,219</b>	<b>67,132</b>	<b>(7,087)</b>
<b>Full-time Equivalents</b>	<b>174</b>	<b>143</b>	<b>167</b>	<b>24</b>

**Sector Management and Governance Mission Statement**

The funding includes projects and activities that increase the ability of all levels of government and private sector partners to assess risks, coordinate programs and processes, and execute risk mitigation programs and activities. They support public awareness efforts, facilitate the sharing of CIKR protection-related best practices and lessons learned, and enable infrastructure protection planning, readiness, and incident management.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	17,625	14,228	16,721	2,493
11.3 Other than full-time permanent	353	285	334	49
11.5 Other personnel compensation	588	474	556	82
12.1 Benefits	4,935	3,984	4,670	686
<b>Total, Salaries &amp; Benefits</b>	<b>23,501</b>	<b>18,971</b>	<b>22,281</b>	<b>3,310</b>

FY 2013 includes \$22,280,000 for salaries and benefits for 167 FTE, which represents an increase of \$3,310,000 from FY 2012 due to the Balanced Workforce initiative, FY 2013 Pay Inflation, and the IPIS transfer to centralize business support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$5,490	\$5,645	\$5,854	\$209

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2013 reflects a \$209,000 increase over FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$27,882	\$18,000	\$11,018	-\$6,982

Advisory and assistance services includes services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$6,982,000 decrease due to the Balanced Workforce initiative.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$22,611	\$27,426	\$23,802	-\$3,624

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents a decrease of \$3,624,000 from FY 2012.



**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Infrastructure Protection**  
**Regional Field Operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	16,146	15,716	14,563	(1,153)
11.3 Other than full-time permanent	323	314	290	(24)
11.5 Other personnel compensation	538	524	484	(40)
12.1 Benefits	4,521	4,401	4,064	(337)
<b>Total, Personnel and Compensation Benefits</b>	<b>21,528</b>	<b>20,955</b>	<b>19,401</b>	<b>(1,554)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	3,668	1,500	1,500	-
22.0 Transportation of things	23	15	15	-
23.2 Other rent	708	500	500	-
23.3 Communications, utilities, and misc. charges	93	90	90	-
25.1 Advisory and assistance services	6,171	12,869	12,774	(95)
25.2 Other services	247	220	220	-
25.3 Purchases from Gov't accts.	26,207	19,568	20,347	779
25.7 Operation and maintenance of equipment	4,511	1,000	1,000	-
26.0 Supplies and materials	438	150	150	-
31.0 Equipment	615	500	500	-
42.0 Insurance Claims and Indemnity	2	-	-	-
<b>Total, Other Object Classes</b>	<b>42,683</b>	<b>36,412</b>	<b>37,096</b>	<b>684</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>64,211</b>	<b>57,367</b>	<b>56,497</b>	<b>(870)</b>
<b>Full-time Equivalents</b>	<b>137</b>	<b>152</b>	<b>140</b>	<b>(12)</b>

**Regional Field Operations Mission Statement**

Funding for program areas includes voluntary projects and activities that enable security partners to identify and mitigate vulnerabilities; implement protective measures and report on risk mitigation activities; and increase preparedness and resilience for facilities, systems, and surrounding communities. These activities foster information sharing and coordination between individual sector governance structures and facilitate the development of critical infrastructure partner governance and coordination structures.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	16,146	15,716	14,563	(1,153)
11.3 Other than full-time permanent	323	314	290	(24)
11.5 Other personnel compensation	538	524	484	(40)
12.1 Benefits	4,521	4,401	4,064	(337)
<b>Total, Salaries &amp; Benefits</b>	<b>21,528</b>	<b>20,955</b>	<b>19,401</b>	<b>(1,554)</b>

The FY 2013 request includes \$19,401,000 for salaries and benefits for 140 FTE, which represents a decrease of \$1,554,000 from FY 2012 due to the Balanced Workforce initiative, FY 2013 Pay Inflation, and the IPIS transfer to centralize business support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$6,171	\$12,869	\$12,774	-\$95

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$95,000 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$26,207	\$19,568	\$20,347	\$779

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents an increase of \$779,000 over FY 2012.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Infrastructure Protection and Information Security**  
**Infrastructure Protection**  
**Infrastructure Security Compliance**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	25,071	24,724	24,800	76
11.3 Other than full-time permanent	501	494	494	-
11.5 Other personnel compensation	836	824	824	-
12.1 Benefits	7,020	6,923	6,923	-
<b>Total, Personnel and Compensation Benefits</b>	<b>33,428</b>	<b>32,965</b>	<b>33,041</b>	<b>76</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,779	1,700	801	(899)
22.0 Transportation of things	11	11	11	-
23.3 Communications, utilities, and misc. charges	2	2	2	-
25.1 Advisory and assistance services	23,825	7,800	3,376	(4,424)
25.2 Other services	78	75	75	-
25.3 Purchases from Gov't accts.	32,765	46,800	33,900	(12,900)
25.7 Operation and maintenance of equipment	3,793	3,745	3,088	(657)
26.0 Supplies and materials	183	180	180	-
31.0 Equipment	66	70	70	-
<b>Total, Other Object Classes</b>	<b>62,502</b>	<b>60,383</b>	<b>41,503</b>	<b>(18,880)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>95,930</b>	<b>93,348</b>	<b>74,544</b>	<b>(18,804)</b>
<b>Full-time Equivalents</b>	<b>190</b>	<b>242</b>	<b>242</b>	-

**Infrastructure Security Compliance Mission Statement**

The Infrastructure Security Compliance Project develops regulations, monitors regulatory compliance, conducts inspections, and performs outreach and communications activities. The two primary initiatives are the development and implementation of the Chemical Facility Anti-Terrorism Standards program and the development and implementation of the Ammonium Nitrate Security Program.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	25,071	24,724	24,800	76
11.3 Other than full-time permanent	501	494	494	-
11.5 Other personnel compensation	836	824	824	-
12.1 Benefits	7,020	6,923	6,923	-
<b>Total, Salaries &amp; Benefits</b>	<b>33,428</b>	<b>32,965</b>	<b>33,041</b>	<b>76</b>

FY 2013 includes \$33,041,000 for salaries and benefits for 242 FTE, which represents an increase of \$76,000 from FY 2012 due to pay inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$1,779	\$1,700	\$801	-\$899

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 reflects an \$899,000 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$23,825	\$7,800	\$3,376	-\$4,424

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents a \$4,424,000 decrease from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$32,765	\$46,800	\$33,900	-\$12,900

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 represents a decrease of \$12,900,000 from FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$3,793	\$3,745	\$3,088	-\$657

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. FY 2013 represents a \$657,000 decrease from FY 2012.

## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>775</b>	<b>915</b>	<b>1,151</b>
<b>Increases</b>			
Filled Vacant Positions	143	82	-
Balanced Workforce Conversions	24	171	65
New Infrastructure Protection Positions	-	3	-
Annualization of Previous Year Positions	-	41	15
Additional Contractor Conversions	-	-	8
New Cybersecurity Positions	-	18	22
New Communications Positions	-	1	3
<b>Subtotal, Increases</b>	<b>167</b>	<b>316</b>	<b>113</b>
<b>Decreases</b>			
Transfer of Assistant Secretaries' Staff to Management & Administration	-	(58)	(4)
Infrastructure Protection Attrition	-	(49)	-
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(107)</b>	<b>(4)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>942</b>	<b>1,124</b>	<b>1,260</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>167</b>	<b>209</b>	<b>109</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

Program/Project/Activity	FY 2011 Actual Obligations Amount	FY 2012 Enacted Budget Authority Amount	FY 2013 Requested Budget Authority Amount	Increase/Decrease for FY 2013 Amount
Priority Telecommunications Services	\$2,044	\$4,185	\$5,249	\$1,064
Outreach and Programs	1,124	0	0	0
Next Generation Networks	940	1,166	1,462	296
Business Operations	0	421	97	-324
Programs to Study & Enhance Telecommunications	595	594	745	151
Infrastructure Security Compliance	5,316	6,137	5,230	-907
Critical Infrastructure Cyber Protection and Awareness	0	3,299	3,199	-100
Critical Infrastructure Protection	544	750	941	191
Regional Field Operations	4,642	3,816	4,817	1,001
Cybersecurity Coordination	0	120	83	-37
Sector Management and Governance	12,173	9,473	9,468	-5
Federal Network Security	0	1,715	1,371	-344
Office of Emergency Communications	3,145	3,395	3,810	415
Infrastructure Analysis and Planning	5,794	5,985	5,761	-224
Global Cybersecurity Management	0	1,253	1,050	-203
Network Security Deployment	0	12,908	18,221	5,313
US-CERT Operations	0	3,478	3,823	345
<b>Total Working Capital Fund</b>	<b>36,317</b>	<b>58,695</b>	<b>65,328</b>	<b>6,633</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high-performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience, and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment, the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

NPPD requests \$4.668 million in IPIS salaries and benefits dollars and an offset of \$5.016 million in program/contract dollars for 35 FTP/35 FTE as part of the FY 2013 DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow-on		FY 2013 Increase		TOTAL FY 2011 – FY 2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
NCSD - IT Specialist	7	7	79	101		26			16	16	102	150
NCSD - Program Analyst			34	42							34	42
NCSD - Interdisciplinary			8	10							8	10
NCS - Telecommunications Specialist			2	1		1					2	2
NCS - Program Analyst			2	1		1			2	2	4	4
NCS - Senior Watch Officer			5	3		2					5	5
NCS - Communications Analyst			1	1							1	1
NCS - GIS Communications Analyst			1	1							1	1
NCS - Operations Analyst			1	1							1	1
NCS - Communications Operations Analyst			1	1							1	1
NCS - Geo-Spatial Communications Analyst			1	1							1	1
NCS - Database Administrator									2	2	2	2
OEC - External Affairs			1	1							1	1
OEC - Program Analyst	2	2	6	6					3	3	11	11
OEC - Supervisory Program Analyst			1	1							1	1
IP - Program Analysts	15	15							12	12	39	39
<b>Total</b>	<b>24</b>	<b>24</b>	<b>143</b>	<b>171</b>		<b>30</b>			<b>47</b>	<b>35</b>	<b>214</b>	<b>272</b>



### **FY 2013 DHS Balanced Workforce Strategy**

- Amount of salaries and benefits funding needed to hire Federal employees:
  - o \$4.668 million for 35 FTP/35 FTE.
  
- Amount of program/contract funding that will be terminated:
  - o \$5.016 million program/contract cost. There is a projected \$0.348 million cost savings by hiring Federal employees and converting contractors to FTPs/FTEs.
  
- Implementation timeline:
  - o NPPD's FY 2013 Balanced Workforce Strategy will be implemented in FY 2013.
  
  - o Contractor functions will be reduced and positions will be converted in accordance with the Department's Balanced Workforce Initiative with a particular focus on contractors who are performing "nearly government inherent" responsibilities. Contractor reductions will be absorbed by the existing Federal Government employees and new FTE converted positions.

### **Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

- No annualizations will be funded using existing salaries and benefits resources.

# Department of Homeland Security

*National Protection & Programs Directorate  
US-VISIT*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **National Protection & Programs Directorate US-VISIT**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Salaries and Expenses:**

The Fiscal Year (FY) 2013 President's Budget proposes the transfer of the United States Visitor and Immigrant Status Indicator Technology (US-VISIT) program to Customs and Border Protection (CBP) and Immigration and Customs Enforcement (ICE). Please see the associated sections of the FY 2013 Congressional Justification (CJ) within CBP and ICE's Salaries and Expenses CJs for the specific details of the transfer. Additionally, an initial transition plan laying out the proposed transfer and merging of US-VISIT accompanies the CBP CJ.

# Department of Homeland Security

*National Protection & Programs Directorate  
Federal Protective Service*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **National Protection & Programs Directorate Federal Protective Service**

### **I. Appropriation Overview**

#### **A. Mission Statement:**

The Federal Protective Service (FPS) is responsible for the protection of the 1.4 million daily tenants and visitors in the facilities, on the grounds, and on property owned, occupied, or secured by the Federal Government, pursuant to the Secretary's authority in accordance with 40 U.S.C. 1315.

FPS executes this mission by providing law enforcement services; security management services, which includes operations and oversight of approximately 14,000 contract Protective Security Officers (PSOs), and security countermeasure services for approximately 9,000 General Services Administration (GSA)-owned,-leased, or -operated facilities located in 11 regions across the country. These services provide a comprehensive risk-based approach to facility protection that allows FPS to prioritize its operations to prevent, detect, assess, respond to, and disrupt criminal and other incidents that endanger the Federal community.

FPS ensures protective and security measures are in accordance with the standards and criteria established by the Interagency Security Committee. This requires business and mission support activities to field a trained force of officers, procure equipment and services for the Federal community, and ensure the collection of basic security, building-specific security, and reimbursable agency-specific security revenues. Additionally, execution of the FPS mission requires significant collaboration with Federal, State, and local law enforcement; intelligence and security communities; and other stakeholder partnerships.

FPS mission requirements comprise three categories; i.e., statutory, supporting, and implied, which provide a conceptual framework for looking at FPS activities.

- Statutory mission requirements are mission essential tasks that FPS is required to perform by law. The Department's statutory mission is to protect Federal facilities and occupants. These requirements include facility security assessments (FSA); countermeasure planning and implementation; emergency response through K-9, HAZMAT, or other necessary enforcement personnel; countermeasure design; criminal investigations; and intelligence and information sharing.
- Supporting mission requirements are tasks that are not required by law but are vital to the accomplishment of the statutory requirements and are essential in carrying out the organization's overall core mission. Supporting requirements include compliance monitoring through post and certification inspections and countermeasure testing and oversight, PSO and in-service law enforcement training, occupant emergency plan development and exercises,

special details/deployments, suitability determinations and adjudication, and mission and business support.

- Implied mission requirements are tasks that are not required by law but are important tools used in mitigating risk. Implied mission requirements are also tasks that stakeholders expect FPS to carry out and that the Government Accountability Office (GAO) has consistently reported as FPS deficiencies. Implied requirements include activities such as Operation Shield, compliance assurance through covert security testing, recurrent officer training, and Federal Emergency Management Agency (FEMA) mission assignments.

All three categories include functions that are important to accomplishing the mission of FPS, but they also are illustrative of FPS' maturing role in the homeland security enterprise, providing security and response capabilities, the enabling of suspicious activity reporting and analysis, and daily interaction with tenants to build both situational awareness and culture of security awareness and preparedness at Federal facilities. The successful completion of the implied and supporting mission activities complements completion of the statutory mission activities—all necessary requirements for successful accomplishment of the statutory mission.

## **B. Budget Activities:**

FPS is a full-cost recovery operation. All expenses must be covered by revenues generated through either basic security fees, building-specific operation fees and administrative overhead, or reimbursable agency-specific operation fees and administrative overhead. The revenue to support the operational costs of FPS come from the basic security fees and the administrative overhead associated with building and reimbursable agency-specific charges.

FPS collects the following fees to fund law enforcement, security management, and support activities:

*Basic Security Charges:* In Fiscal Year (FY) 2013, a 74-cent per square foot charge will be assessed by FPS for all GSA-controlled space. The total square footage in GSA inventory varies from month to month but averages 365 million square feet. Basic security charges capture statutory and regulatory service requirements for activities such as law enforcement, information and intelligence sharing, and conducting security assessments, providing crime prevention and awareness training, coordination of Occupant Emergency Plan development, program administration of the PSO program, and MegaCenter alarm monitoring and dispatch operations.

*Building-Specific Charges:* These are charges assessed to Federal agency customers for building-specific security services, including acquisition and administration of PSOs, security equipment installation, operations, maintenance and repair, consultation on security fixtures, and contractor background suitability determinations. The charge includes a six-percent fixed administrative fee to fund FPS overhead costs; these funds are combined with the basic security fees collected above to cover all FPS operating costs. Building-specific security is based on security countermeasure requirements generated through an FSA or a customer request specific to a particular building.



*Reimbursable Agency Specific Charges:* Also called Security Work Authorizations (SWAs), these are reimbursable agreements between FPS and another Federal agency for the occupants of Federally owned or leased facilities requesting the same services provided as part of building-specific but provided to an individual customer rather than for an entire facility. Reimbursements consist of the direct cost of the goods and/or services provided, plus a six-percent fixed administrative fee; the administrative fee is combined with the basic security fees collected above to cover all FPS operating costs. Reimbursable agency-specific also includes other traditional reimbursable activity such as that required for American Recovery and Reinvestment Act, other Federal agencies' use of FPS firing ranges, and FEMA mission assignments.

Through the above fees, the following three strategic services are delivered:

#### Law Enforcement Services

Law enforcement services consume, analyze, and act on intelligence and other information necessary to enforce laws on Federal property through proactive engagement and appropriate response. Taken together, these law enforcement services form the foundation for FPS' efforts to meet the Secretary's statutory obligations to protect the people, buildings, grounds, and property that are owned, occupied, or secured by the Federal Government.

#### Security Management Services

Security management services provide protection and deterrent activities through the installation and monitoring of technical countermeasures, as well as the deployment of PSOs. These activities also include the necessary oversight, compliance auditing, covert testing, training, and related management activities related to managing such a program.

#### Resource Management

Resource management activities provide FPS the ability to establish and manage its resources and deliver them in a manner that meets mission objectives. This requires regular collection, review and reporting on workload, performance measures, and cost data ensuring that policies and procedures are operating as designed. FPS carries out its resource management activities in two categories: (1) business support operations comprised of indirect support functions, and (2) mission support functions that directly support FPS operations.

### **C. Budget Request Summary:**

For FY 2013, FPS projects the availability of \$1,301,824,000 in total collection authority. With this collection authority, FPS projects an operating budget of \$333,357,040 derived from: \$271,540,000 in basic security fee revenue, \$30,543,360 in building-specific administrative fee revenue, and \$31,273,680 in reimbursable agency-specific administrative fee revenue. Within this available funding, FPS will be able to support 1,279 full-time equivalents (FTE) in Fiscal Year (FY) 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

### Department of Homeland Security National Protection & Programs Directorate Federal Protective Service

Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Basic Security	1,225	1,195	258,262	1,371	1,279	271,540	1,371	1,279	271,540	-	-	-	-	-	-	-	-	-
Building-Specific Security	-	-	449,546	-	-	501,039	-	-	509,056	-	-	8,017	-	-	-	-	-	8,017
Reimbursable Agency-Specific Security	-	-	426,153	-	-	513,020	-	-	521,228	-	-	8,208	-	-	-	-	-	8,208
<b>Total, Federal Protective Service</b>	<b>1,225</b>	<b>1,195</b>	<b>1,133,961</b>	<b>1,371</b>	<b>1,279</b>	<b>1,285,599</b>	<b>1,371</b>	<b>1,279</b>	<b>1,301,824</b>	<b>-</b>	<b>-</b>	<b>16,225</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>16,225</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>1,225</b>	<b>1,195</b>	<b>1,133,961</b>	<b>1,371</b>	<b>1,279</b>	<b>1,285,599</b>	<b>1,371</b>	<b>1,279</b>	<b>1,301,824</b>	<b>-</b>	<b>-</b>	<b>16,225</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>16,225</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Offsetting Collections	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>1,225</b>	<b>1,195</b>	<b>1,133,961</b>	<b>1,371</b>	<b>1,279</b>	<b>1,285,599</b>	<b>1,371</b>	<b>1,279</b>	<b>1,301,824</b>	<b>-</b>	<b>-</b>	<b>16,225</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>16,225</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Federal Protective Service**  
**Basic Security**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Basic Security**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>1,225</b>	<b>1,195</b>	<b>258,262</b>
<b>2012 Enacted Budget Authority</b>	<b>1,371</b>	<b>1,279</b>	<b>271,540</b>
<b>2013 Current Services</b>	<b>1,371</b>	<b>1,279</b>	<b>271,540</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,371</b>	<b>1,279</b>	<b>271,540</b>
Total Change 2012 to 2013	-	-	-

FPS projects the availability of \$271,540,000 to be collected in FY 2013 basic security fees that will be available to sustain FY 2013 operations. This amount is estimated at the basic security fee of 74 cents per square foot. FPS will add these fees to the building-specific administrative fees of \$30,543,360 and the reimbursable agency-specific administrative fees of \$31,273,680 to support a total operating budget of \$333,357,040. Within this available funding, FPS will be able to support 1,279 FTE in FY 2013.

In the FY 2012 President’s Budget, FPS had estimated available revenue to support 1,371 FTE. The basic security fee increase of 8 cents per square foot (from \$0.66 per square foot in FY 2011 to \$0.74 per square foot in FY 2012) in FY 2012 was planned to allow FPS to hire 146 new positions, notwithstanding other requirements such as the transition from Immigration and Customs Enforcement to the National Protection and Programs Directorate, system development in Risk Assessment Management Program (RAMP), and the next generation Activity Based Costing (ABC) model which addresses the GAO concerns regarding FPS’ fee structure. Revised calculations after the FY 2012 submission resulted in estimated available revenue to support 1,279 FTE. Given the current fiscal environment and reductions that many FPS customer agencies are facing, no additional increase in security fees is requested. With requested resources, FPS will maintain a hiring plan of 1,279 FTE in FY 2013 and will manage risks within those resources. FPS is making progress in RAMP and next generation ABC model that ultimately will be able to align revenue collections to FPS activities.

## **CURRENT SERVICES PROGRAM DESCRIPTION:**

### **Basic Security**

In FY 2013, a 74-cent per square foot fee is assessed by FPS to all tenants in GSA-controlled space, including GSA, for vacant and out-leased space. Basic security charges capture statutory and regulatory service requirements for activities such as law enforcement, information and intelligence sharing, conducting security assessments, providing crime prevention and awareness training, program administration of countermeasure programs, MegaCenter alarm monitoring and dispatch operations, and all other capital investments and mission support and oversight activities.

Basic security charges, together with the administrative fees, fund the following FPS operating activities:

### **Law Enforcement**

FPS provides proactive and visible law enforcement services that regularly engage facility tenants and provide observation of Federal facilities to assess, detect, and interdict suspicious or illegal activity; to detect indications of pre-attack surveillance and planning; and to deter criminal and unauthorized activity. FPS Law Enforcement Security Officers (LESOs) provide a highly visible law enforcement presence and expand security coverage through targeted proactive patrol operations and engagement, which include bicycle patrol, motorcycles, K-9 sweeps, Operation Shield, selective heightened patrol coverage, countermeasure testing, inspections, and occupant outreach.

FPS is tasked with numerous special details such as high-profile trials at U.S. Courthouses, international border conferences, Presidential functions and inaugurations, dignitary details at assigned Federal facilities, and FEMA assignments during emergency and catastrophic events. Some of these details are short-term and end after a period of weeks; others are longer term and may run for months.

FPS responds to, investigates, and documents reports of crime, threats, alarms, and suspicious or unusual activities, and effects arrests when necessary. Responses may involve the use of K-9 or other specialized law enforcement capabilities, depending on the nature of the call.

### **Investigation and Intelligence**

FPS investigates crimes to identify and prosecute perpetrators; mitigates vulnerabilities; and consumes, synthesizes, and communicates intelligence information so that FPS stakeholders, as well as other Federal, State, and local agencies, can take appropriate actions to minimize vulnerabilities to emerging threats. FPS criminal investigators conduct criminal, internal misconduct, integrity, and threat investigations related to alleged or suspected criminal violations of Federal laws, as well as administrative investigations.

The FPS Regional Information Sharing Program is a comprehensive intelligence gathering and dissemination capability through continuous intelligence networking with Federal, State, and local law enforcement agencies. FPS shares this analyzed information on potential threats against Federal facilities in an assortment of intelligence and threat assessment products.

## **MegaCenters/Communications**

FPS integrates strategically located communication technologies to support its overall mission and engages in strategic partnerships with law enforcement and emergency management agencies nationally.

The four FPS MegaCenters monitor multiple types of alarm systems, closed-circuit television, and wireless dispatch communications within Federal facilities throughout the Nation. The related alarm-monitoring function for GSA and other Federally owned and leased facilities provides a dedicated and specialized service to ensure prompt dispatch of law enforcement and emergency first responders to situations at those facilities nationwide. Additionally, MegaCenter staff have created a collaborative partnership with third party alarm-monitoring companies nationally that monitor some GSA-leased facilities facilitating an FPS response. MegaCenters also serve as a unique and vital communications link between FPS law enforcement personnel on the street; contract security guards located at various Federal facilities; and other Federal, State, and local law enforcement entities, facilitating the swift and efficient flow of information for the U.S. and its territories.

The FPS MegaCenters are fully redundant communication and alarm centers. In the event of a partial or catastrophic failure at one center, all operations will be remotely switched and monitored at a “sister” location without disruption to alarm and communication services. FPS MegaCenters operate 24 hours a day, 7 days a week.

## **Countermeasure Program Administration**

FPS assesses facility threats, vulnerabilities, and consequences of successful threat events and recommends countermeasures, such as PSOs and/or technical security equipment, to mitigate risk and potential reoccurrence. Once the countermeasures are approved by the Facility Security Committee (FSC), FPS is responsible for procuring and overseeing the management of these countermeasure efforts.

Some of the activities performed include:

- Develop Post Orders. Collaborate with facility tenants to compose post orders specific to the facility and post to specify the actions taken by PSOs.
- Training and Certification. Provide critical training ensuring compliance with contract requirements.
- PSO Certifications. Certifications ensure that the PSO is medically cleared and properly trained to staff the post. This includes the background investigation(s), completion of all required forms, medical evaluation and weapons qualifications, first aid/CPR, and agency-specific training.
- Verification and Validation. Incorporates a robust program for FPS to monitor countermeasure performance and qualifications, ensuring compliance with contract requirements through site and/or post inspections, administrative audits, annual performance evaluations, and testing and oversight.

- Planning. FPS interacts with the FSC and GSA to ensure that approved security measures are fully integrated into the configuration of the site and/or building design.
- Design. FPS will identify the highest risk(s) associated with the site and/or facility and recommend design strategies to be integrated into and implemented during construction or build-out of space. It collaborates with facility tenants to address building- and agency-specific needs and requirements.
- Implementation. FPS is responsible for ensuring that each individual countermeasure is implemented and installed to effectively and efficiently mitigate the FSA-identified threat.
- Security Testing. Includes measures of the effectiveness of the countermeasures implemented.

### **Mission Support/Management Oversight**

Through 11 regions across the country, FPS carries out its resource management activities in two categories: (1) business support operations comprised of indirect support functions, and (2) mission support functions that directly support FPS operations. A small headquarters operation manages the frontline law enforcement and security professionals who oversee the delivery of protection and security operations, as well as coordinate the response to intelligence and other threat data across the country. This involves setting policies to mitigate and manage risk across the operation and administering the delivery of enterprise information technology systems, such as case management and reporting tools, systemic analysis of threat and investigation coordination, and the entire management and administrative operation required to support the organization.

Specific business support functions that are critical to the FPS operation include: human capital, administrative services, facilities/logistics, fleet management, space management, information technology, consolidated contracting, and financial management.

**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
Building Specific Security  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Building-Specific Security**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>449,546</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>501,039</b>
2013 Adjustments-to-Base	-	-	8,017
<b>2013 Current Services</b>	-	-	<b>509,056</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>509,056</b>
Total Change 2012 to 2013	-	-	8,017

FPS requests \$509,056,000 in FY 2013 offsetting collection authority for ongoing building-specific operations. This request includes \$8,017,000 as a technical adjustment to increase offsetting collections authority. The increase will address contract security cost escalation related to increased requests for service, labor rate adjustments that were either projected or exceeded, and collective bargaining-related cost increases.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Building-Specific Security

A fee assessed to Federal agency customers for building-specific security services including acquisition and administration of PSOs, security equipment installation, operations, maintenance, and repair, consultation on security fixtures, and contractor background suitability determinations. The fee includes a six percent fixed administrative fee to fund FPS overhead costs for the security for a given facility. Building-specific security is based on security countermeasure requirements generated through an FSA or a customer request specific to a particular building. Building specific security charges fund the following countermeasure activities:

- Protective Security Officer Management Services – the contract PSO services provided by FPS are a key component of the security foundation provided by the agency. The security posts staffed by PSOs are placed at facilities based on individual risk assessments and are charged with mitigating specific vulnerabilities to identified credible threats. This is accomplished through one or more of the following functions provided by PSOs:

- Access Control. Ensures access to secured areas in accordance to access control procedures.
  - Control Center Operations. Integrates multiple countermeasures through monitoring of security equipment and facilitating communication with other posts or law enforcement as necessary.
  - Patrol and Response. Patrols and monitors the facility for safety, security, and enforcement purposes.
  - Screening. Identifies and interdicts unlawful, dangerous, or prohibited items to ensure they do not enter a secured area.
  - Visitor Processing. Identifying and documenting visits of individuals with no recurring visits.
- Technical Countermeasure Services - Technical Security Equipment countermeasures allow FPS to provide an integrated and cost effective level of protection. FPS achieves this through its national countermeasures program, which includes design, implementation and oversight, as well as collaborative efforts with Federal partners, such as the DHS Science and Technology Directorate and the Transportation Security Administration.



**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
Reimbursable Agency Specific Security  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Reimbursable Agency-Specific Security**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>426,153</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>513,020</b>
2013 Adjustments-to-Base	-	-	8,208
<b>2013 Current Services</b>	-	-	<b>521,228</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>521,228</b>
Total Change 2012 to 2013	-	-	8,208

FPS requests \$521,228,000 in FY 2013 offsetting collection authority for ongoing reimbursable agency-specific security operations. This request includes \$8,208,000 as a technical adjustment to increase offsetting collections authority. The increase will address increased tenant-specific requirements and contract security cost escalation related to increased requests for service, wage rate increases, and collective bargaining-related cost increases.

FPS currently is reviewing a number of legacy delegations of law enforcement and protective security authority issued to other Federal agencies to determine whether continuing or extending them remains in the best interest of the Federal Government and the affected agency. The results of this review are expected to inform future requests for authority.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Reimbursable agency-specific security, also called Security Work Authorizations (SWAs), are reimbursable agreements (RA) between FPS and other Federal agencies. SWAs serve as the RAs for the occupants of Federally owned or leased facilities requesting the same services provided as part of building-specific but provided to an individual customer rather for an entire facility. Reimbursements consist of the direct cost of the goods and/or services provided, plus a six-percent fixed administrative fee to cover the costs of FPS.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*The revenues and collections of security fees credited to this account shall be available until expended for necessary expenses related to the protection of federally owned and leased buildings and for the operations of the Federal Protective Service[: Provided, That the Secretary of Homeland Security and the Director of the Office of Management and Budget shall certify in writing to the Committees on Appropriations of the Senate and the House of Representatives not later than December 31, 2011, that the operations of the Federal Protective Service will be fully funded in fiscal year 2012 through revenues and collection of security fees, and shall adjust the fees to ensure fee collections are sufficient to ensure that the Federal Protective Service maintains not fewer than 1,371 full-time equivalent staff and 1,007 full-time equivalent Police Officers, Inspectors, Area Commanders, and Special Agents who, while working, are directly engaged on a daily basis protecting and enforcing laws at Federal buildings (referred to as ``in-service field staff"): Provided further, That an expenditure plan for fiscal year 2012 shall be provided to the Committees on Appropriations of the Senate and the House of Representatives not later than 60 days after the date of enactment of this Act: Provided further, That the Director of the Federal Protective Service shall include with the submission of the President's fiscal year 2013 budget a strategic human capital plan that aligns fee collections to personnel requirements based on a current threat assessment].(Department of Homeland Security Appropriations Act, 2012.)*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	1,225	1,195	1,133,961
<b>FY 2012 Enacted Budget Authority</b>	1,371	1,279	1,285,599
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
Build. Specific Tech. Adj. to Increase Off. Collections Auth.	-	-	8,017
FY 2013 Pay Increase	-	-	612
GSA Rent	-	-	1,190
Reimburs. Agency Specific Tech. Adj. to Increase Off. Collections Auth.	-	-	8,208
<b>Total, Increases</b>	-	-	18,027
<b>Decreases</b>	-	-	-
Offset to FY 2013 Pay Increase	-	-	(612)
Offset to GSA Rent	-	-	(1,190)
<b>Total, Decreases</b>	-	-	(1,802)
<b>Total, Adjustments-to-Base</b>	-	-	16,225
<b>FY 2013 Current Services</b>	1,371	1,279	1,301,824
<b>Program Changes</b>	-	-	-
	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	1,371	1,279	1,301,824
<b>Offsetting Collections</b>	-	-	-
<b>FY 2012 to FY 2013 Total Change</b>	-	-	16,225

### C. Summary of Requirements

**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	1,225	1,195	1,133,961
FY 2012 Enacted Budget Authority	1,371	1,279	1,285,599
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	18,027
Decreases	-	-	(1,802)
<b>Total, Adjustments-to-Base</b>	-	-	16,225
<b>FY 2013 Current Services</b>	1,371	1,279	1,301,824
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	1,371	1,279	1,301,824
<b>FY 2012 to FY 2013 Total Change</b>	-	-	16,225

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Basic Security	1,371	1,279	271,540	-	-	-	-	-	-	1,371	1,279	271,540	-	-	-
Building-Specific Security	-	-	501,039	-	-	8,017	-	-	-	-	-	509,056	-	-	8,017
Reimbursable Agency-Specific Security	-	-	513,020	-	-	8,208	-	-	-	-	-	521,228	-	-	8,208
<b>Total</b>	1,371	1,279	1,285,599	-	-	16,225	-	-	-	1,371	1,279	1,301,824	-	-	16,225

**D. Summary of Reimbursable Resources**

**N/A**

## E. Summary of Requirements by Object Class

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Federal Protective Service**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	104,212	108,979	113,325	4,346
11.3 Other than full-time permanent	631	656	682	26
11.5 Other personnel compensation	17,830	18,540	19,279	739
12.1 Benefits	34,088	35,336	36,801	1,465
<b>Total, Personnel and Other Compensation Benefits</b>	<b>156,761</b>	<b>163,511</b>	<b>170,087</b>	<b>6,576</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,972	5,051	5,133	82
22.0 Transportation of things	14,347	13,829	13,311	(518)
23.1 GSA rent	26,858	28,854	30,058	1,204
23.2 Other rent	220	224	227	3
23.3 Communications, utilities, and misc. charges	9,446	9,597	9,750	153
24.0 Printing	7	7	8	1
25.1 Advisory and assistance services	482	489	497	8
25.2 Other services	869,550	1,099,333	1,065,147	(34,186)
25.3 Purchases from Gov't accts.	3,049	7,307	7,424	117
25.4 O&M of facilities	72	73	75	2
25.6 Medical care	1	1	1	-
25.7 Operation and maintenance of equipment	40,723	50,842	51,391	549
25.8 Subsistence & Support of persons	722	733	746	13
26.0 Supplies and materials	2,444	2,482	2,522	40
31.0 Equipment	4,245	4,313	4,382	69
32.0 Land & structures	15	15	16	1
42.0 Insurance Claims and Indemnity	47	48	49	1
<b>Total, Other Object Classes</b>	<b>977,200</b>	<b>1,223,198</b>	<b>1,190,737</b>	<b>(32,461)</b>
<b>Total, Direct Obligations</b>	<b>1,133,961</b>	<b>1,386,709</b>	<b>1,360,824</b>	<b>(25,885)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	75,000	35,000	(40,000)
Unobligated balance, start of year	-	(141,110)	(75,000)	66,110
Recoveries of Prior Year Obligations	-	(35,000)	(19,000)	16,000
<b>Total, Adjustments</b>	<b>-</b>	<b>(101,110)</b>	<b>(59,000)</b>	<b>42,110</b>
<b>Total Requirements</b>	<b>1,133,961</b>	<b>1,285,599</b>	<b>1,301,824</b>	<b>16,225</b>
<b>Full-time Equivalents</b>	<b>1,195</b>	<b>1,279</b>	<b>1,279</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	5	7	7	-
GS-15	37	48	48	-
GS-14	138	142	142	-
GS-13	292	302	302	-
GS-12	546	577	577	-
GS-11	106	108	108	-
GS-10	8	8	8	-
GS-9	51	93	93	-
GS-8	28	29	29	-
GS-7	11	51	51	-
GS-6	2	2	2	-
GS-5	1	4	4	-
<b>Total Permanent Positions</b>	<b>1,225</b>	<b>1,371</b>	<b>1,371</b>	-
Unfilled Positions EOY	25	-	-	-
Total Permanent Employment EOY	1,225	1,371	1,371	-
Headquarters	224	285	285	-
U.S. Field	1,001	1,086	1,086	-
<b>Total, Federal Protective Service</b>	<b>1,225</b>	<b>1,371</b>	<b>1,371</b>	-
<b>Full-time Equivalents</b>	<b>1,195</b>	<b>1,279</b>	<b>1,279</b>	-
Average ES Salary	165,381	165,066	165,685	619
Average GS Salary	85,306	83,435	83,748	313
Average Grade	12	12	12	-



## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
Reimbursable Agency-Specific Security  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	322	322	322	-
11.5 Other personnel compensation	85	85	85	-
12.1 Benefits	21	21	21	-
<b>Total, Personnel and Compensation Benefits</b>	<b>428</b>	<b>428</b>	<b>428</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
22.0 Transportation of things	3	3	3	-
23.1 GSA rent	896	910	925	15
23.3 Communications, utilities, and misc. charges	74	75	76	1
25.2 Other services	417,966	557,065	534,792	(22,273)
25.7 Operation and maintenance of equipment	6,467	6,570	6,675	105
25.8 Subsistence & Support of persons	21	21	21	-
26.0 Supplies and materials	8	8	8	-
31.0 Equipment	290	295	300	5
<b>Total, Other Object Classes</b>	<b>425,725</b>	<b>564,947</b>	<b>542,800</b>	<b>(22,147)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(77,355)	(40,000)	37,355
Unobligated Balance, end of year	-	40,000	25,000	(15,000)
Recoveries of Prior Year Obligations	-	(15,000)	(7,000)	8,000
<b>Total, Adjustments</b>	-	<b>(52,355)</b>	<b>(22,000)</b>	<b>30,355</b>
<b>Total Requirements</b>	<b>426,153</b>	<b>513,020</b>	<b>521,228</b>	<b>8,208</b>
<b>Full-time Equivalents</b>	-	-	-	-

### Reimbursable Agency-Specific Security Mission Statement

Reimbursable Agency-Specific Security, or Security Work Authorizations (SWAs) - FPS enters into SWAs with customer agencies to procure security measures beyond those included within Basic Security and Building-Specific Security. FPS does not request authority for these collections because the additional security services and contract guards are determined by the operational security needs of the customer agencies (e.g., an additional contract guard and closed circuit television cameras within a U.S. Citizenship and Immigration Services waiting room in a multi-tenant Federal building).

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	322	322	322	-
11.5 Other personnel compensation	85	85	85	-
12.1 Benefits	21	21	21	-
<b>Total, Salaries &amp; Benefits</b>	<b>428</b>	<b>428</b>	<b>428</b>	<b>-</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$896	\$910	\$925	\$15

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. This portion of GSA Rent is reimbursed from The National Firearms and Tactical Training Unit of ICE. FY 2013 includes projected rent escalation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$74	\$75	\$76	\$1

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$417,966	\$557,065	\$534,792	-\$22,273

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The contract PSOs and Security Systems programs are coded to this object class. FY 2013 includes a technical adjustment of \$8,208,000 to increase offsetting collections authority.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$6,467	\$6,570	\$6,675	\$105

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$290	\$295	\$300	\$5

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 represents inflation from FY 2012 Enacted.

**Department of Homeland Security  
National Protection & Programs Directorate  
Federal Protective Service  
Building-Specific Security  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	19	19	20	1
22.0 Transportation of things	623	633	643	10
23.3 Communications, utilities, and misc. charges	1,694	1,721	1,748	27
25.1 Advisory and assistance services	395	401	408	7
25.2 Other services	443,539	521,171	509,855	(11,316)
25.4 O&M of facilities	54	55	56	1
25.6 Medical care	1	1	1	-
25.7 Operation and maintenance of equipment	1,053	1,069	1,087	18
25.8 Subsistence & Support of persons	695	706	718	12
26.0 Supplies and materials	34	34	35	1
31.0 Equipment	1,439	1,462	1,485	23
<b>Total, Other Object Classes</b>	<b>449,546</b>	<b>527,272</b>	<b>516,056</b>	<b>(11,216)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(26,233)	(10,000)	16,233
Unobligated Balance, end of year	-	10,000	10,000	-
Recoveries of Prior Year Obligations	-	(10,000)	(7,000)	3,000
<b>Total, Adjustments</b>	-	<b>(26,233)</b>	<b>(7,000)</b>	<b>19,233</b>
<b>Total Requirements</b>	<b>449,546</b>	<b>501,039</b>	<b>509,056</b>	<b>8,017</b>
<b>Full-time Equivalents</b>	-	-	-	-

**Building-Specific Security Mission Statement**

Building-Specific Security is based on security countermeasure requirements specific to a particular building based on a FPS vulnerability assessment. The two components are the contract Protective Security Officers (PSOs) and Security Systems programs. The PSO Services includes access control, control center operations, patrol and response, screening, and visitor processing. The Security Systems program includes the purchase, installation, and maintenance of security equipment, such as cameras, alarms, magnetometers, and x-ray machines. FPS acquires security equipment assets based on their need, as identified through security assessments, and manages standard replacement schedules.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$19	\$19	\$20	\$1

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$623	\$633	\$643	\$10

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$1,694	\$1,721	\$1,748	\$27

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$395	\$401	\$408	\$7

Advisory and assistance services includes services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$443,539	\$521,171	\$509,855	-\$11,316

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The contract PSOs and Security Systems programs are coded to this object class. FY 2013 includes a technical adjustment of \$8,017,000 to increase offsetting collections authority.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$54	\$55	\$56	\$1

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal account. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$1,053	\$1,069	\$1,087	\$18

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.8 Subsistence &amp; Support of persons</b>	\$695	\$706	\$718	\$12

Contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$34	\$34	\$35	\$1

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$1,439	\$1,462	\$1,485	\$23

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 represents inflation from FY 2012 Enacted.

**Department of Homeland Security**  
**National Protection & Programs Directorate**  
**Federal Protective Service**  
**Basic Security**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	103,890	108,657	113,003	4,346
11.3 Other than full-time permanent	631	656	682	26
11.5 Other personnel compensation	17,745	18,455	19,194	739
12.1 Benefits	34,067	35,315	36,780	1,465
<b>Total, Personnel and Compensation Benefits</b>	<b>156,333</b>	<b>163,083</b>	<b>169,659</b>	<b>6,576</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,953	5,032	5,113	81
22.0 Transportation of things	13,721	13,193	12,665	(528)
23.1 GSA rent	25,962	27,944	29,133	1,189
23.2 Other rent	220	224	227	3
23.3 Communications, utilities, and misc. charges	7,678	7,801	7,926	125
24.0 Printing	7	7	8	1
25.1 Advisory and assistance services	87	88	89	1
25.2 Other services	8,045	21,097	20,500	(597)
25.3 Purchases from Gov't accts.	3,049	7,307	7,424	117
25.4 O&M of facilities	18	18	19	1
25.7 Operation and maintenance of equipment	33,203	43,203	43,629	426
25.8 Subsistence & Support of persons	6	6	7	1
26.0 Supplies and materials	2,402	2,440	2,479	39
31.0 Equipment	2,516	2,556	2,597	41
32.0 Land & structures	15	15	16	1
42.0 Insurance Claims and Indemnity	47	48	49	1
<b>Total, Other Object Classes</b>	<b>101,929</b>	<b>130,979</b>	<b>131,881</b>	<b>902</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(37,522)	(25,000)	12,522
Unobligated Balance, end of year	-	25,000	-	(25,000)
Recoveries of Prior Year Obligations	-	(10,000)	(5,000)	5,000
<b>Total, Adjustments</b>	<b>-</b>	<b>(22,522)</b>	<b>(30,000)</b>	<b>(7,478)</b>
<b>Total Requirements</b>	<b>258,262</b>	<b>271,540</b>	<b>271,540</b>	<b>-</b>
<b>Full-time Equivalent</b>	<b>1,195</b>	<b>1,279</b>	<b>1,279</b>	<b>-</b>

**Basic Security Mission Statement**

The Basic Security services include law enforcement services on Federally controlled property, preliminary investigations of incidents, and capture and arrest of suspects. This security also includes the 24-hour security alarm monitoring, nationwide dispatch services, facility security assessments, and assistance to Facility Security Committees.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	103,890	108,657	113,003	4,346
11.3 Other than full-time permanent	631	656	682	26
11.5 Other personnel compensation	17,745	18,455	19,194	739
12.1 Benefits	34,067	35,315	36,780	1,465
<b>Total, Salaries &amp; Benefits</b>	<b>156,333</b>	<b>163,083</b>	<b>169,659</b>	<b>6,576</b>

FY 2013 includes \$169,658,736 for salaries and benefits for 1,279 FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$4,953	\$5,032	\$5,113	\$81

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$13,721	\$13,193	\$12,665	-\$528

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. FY 2013 represents a \$528,000 decrease from the FY 2012 Enacted. The savings can be attributed to a gradual rightsizing of the FPS fleet.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$25,962	\$27,944	\$29,133	\$1,189

GSA Rent includes all payments to GSA for rental of space and rent-related services. FY 2013 includes projected rent escalation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.2 Other rent	\$220	\$224	\$227	\$3

Other rent includes all payments to a non-Federal source for rental space, land, and structures. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$7,678	\$7,801	\$7,926	\$125

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011	FY 2012	FY 2013	FY 2012 to



	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
24.0 Printing	\$7	\$7	\$8	\$1

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$87	\$88	\$89	\$1

Advisory and assistance services includes services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$8,045	\$21,097	\$20,500	-\$597

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 continues planning and investment in the second generation Risk Assessment Management Program while the Modified Infrastructure Survey Tool is utilized as an interim solution.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$3,049	\$7,307	\$7,424	\$117

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 continues to fund forced-move facilities projects, of which many are related to the FY 2010 transfer from ICE to NPPD.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$18	\$18	\$19	\$1

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal account. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$33,203	\$43,203	\$43,629	\$426

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 includes funding for information technology support billed through the DHS Working Capital Fund. In FY 2012, service was provided through a service level agreement with ICE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.8 Subsistence & Support of persons	\$6	\$6	\$7	\$1

Contractual services with the public or another Federal Government account for the board, lodging, and care of persons,

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
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including prisoners. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$2,402	\$2,440	\$2,479	\$39

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$2,516	\$2,556	\$2,597	\$41

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>32.0 Land &amp; structures</b>	\$15	\$15	\$16	\$1

FY 2013 represents inflation from FY 2012 Enacted.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>42.0 Insurance Claims and Indemnity</b>	\$47	\$48	\$49	\$1

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. FY 2013 represents inflation from FY 2012 Enacted.

## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>1,199</b>	<b>1,195</b>	<b>1,279</b>
<b>Increases</b>			
Additional Fee Funded Staff	51	84	-
<b>Subtotal, Increases</b>	<b>51</b>	<b>84</b>	<b>-</b>
<b>Decreases</b>			
Attrition (estimate)	(55)	-	-
<b>Subtotal, Decreases</b>	<b>(55)</b>	<b>-</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>1,195</b>	<b>1,279</b>	<b>1,279</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>(4)</b>	<b>84</b>	<b>-</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

Program/Project/Activity	FY 2011 Actual Obligations Amount	FY 2012 Enacted Budget Authority Amount	FY 2013 Requested Budget Authority Amount	Increase/Decrease for FY 2013 Amount
Basic Security	\$3,344	\$4,363	\$19,775	\$15,412
<b>Total Working Capital Fund</b>	<b>3,344</b>	<b>4,363</b>	<b>19,775</b>	<b>15,412</b>

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*Office of Health Affairs*

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Fiscal Year 2013  
One-Time Exhibits  
Congressional Justification

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**i. Summary of FY Budget Estimates by Appropriation without Emergency Funding**

**Department of Homeland Security  
Office of Health Affairs  
Summary of FY 2013 Budget Estimates by Appropriation**

Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Subtotal, Discretionary	104	76	132,872	108	99	167,449	110	101	166,458	2	2	(991)	-	-	38,497	2	2	(39,488)
Total, Office of Health Affairs	104	76	132,872	108	99	167,449	110	101	166,458	2	2	(991)	-	-	38,497	2	2	(39,488)
Subtotal, Enacted Appropriations and Budget Estimates	104	76	132,872	108	99	167,449	110	101	166,458	2	2	(991)	-	-	38,497	2	2	(39,488)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	104	76	132,872	108	99	167,449	110	101	166,458	2	2	(991)	-	-	38,497	2	2	(39,488)



**ii. Homeland and Non-Homeland Allocation**

**Department of Homeland Security  
Office of Health Affairs**  
Homeland and Non-Homeland Allocation by Program/Projects Activity  
(Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Percentage		Total		PPA Homeland Percentage		PPA Non-Homeland Percentage		Total		PPA Homeland Percentage		PPA Non Homeland Percentage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses	76	\$30,596	-	-	76	\$30,596	99	\$29,671	-	-	99	\$29,671	101	\$27,757	-	-\$0	101	\$27,757
Planning and Coordination	-	3,621	-	-	-	3,621	-	6,162	-	-	-	6,162	-	4,907	-	0	-	4,907
BioWatch	-	90,845	-	-	-	90,845	-	114,164	-	-	-	114,164	-	125,294	-	0	-	125,294
National Biosurveillance Integration Center	-	5,693	-	-	-	5,693	-	12,013	-	-	-	12,013	-	8,000	-	-	-	8,000
Chemical Defense Program	-	2,117	-	-	-	2,117	-	5,439	-	-	-	5,439	-	500	-	-	-	500
<b>Total</b>	<b>76</b>	<b>132,872</b>	<b>-</b>	<b>-</b>	<b>76</b>	<b>132,872</b>	<b>99</b>	<b>167,449</b>	<b>-</b>	<b>-</b>	<b>99</b>	<b>167,449</b>	<b>101</b>	<b>166,458</b>	<b>-</b>	<b>0</b>	<b>101</b>	<b>166,458</b>

**iii. Status of Congressionally Requested Studies, Reports, and Evaluations**

**Department of Homeland Security  
Office of Health Affairs**

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
2012	2/21/2012	H. R. 2055—174	That the Assistant Secretary for the Office of Health Affairs shall submit an expenditure plan for fiscal year 2012 to the Committees on Appropriations of the Senate and the House of Representatives not later than 60 days after the date of enactment of this Act.	Revised report to be circulated for DHS clearance with comments. Target delivery date to Congress is 2/21/12
2012	Quarterly	Joint Explanatory Statement accompanying the Fiscal Year 2012 Department of Homeland Security Appropriations Act (P.L. 112-74).	Provides a quarterly update “on the deployment of any BioWatch device to new locations.”	Revised report to be circulated for DHS clearance with comments.

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security**

**Office of Health Affairs**

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Requested Budget Authority
	Fiscal Year	Amount	Amount	Amount
<b>Office of Health Affairs</b>	N/A	N/A	<b>\$167,449</b>	<b>\$166,458</b>
BioWatch	N/A	N/A	114,164	125,294
NBIC	N/A	N/A	12,013	8,000
Planning & Coordination	N/A	N/A	6162	4,907
Chemical Defense Program	N/A	N/A	5,439	500
Salaries & Expenses	N/A	N/A	29,671	27,757
<b>Total Direct Authorization/Appropriation</b>	N/A	N/A	<b>\$167,449</b>	<b>\$166,458</b>

# Department of Homeland Security

*Office of Health Affairs*

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Fiscal Year 2013  
Congressional Justification

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# BUDGET REQUEST AND SUPPORTING INFORMATION

## Office of Health Affairs

### I. Appropriation Overview

#### **A. Mission Statement for Office of Health Affairs:**

The Office of Health Affairs (OHA) provides health and medical expertise in support of the DHS mission to prepare for, respond to, and recover from all threats. OHA's responsibilities include: serving as the principal advisor to the Secretary and FEMA Administrator on medical and public health issues; leading and coordinating biological and chemical defense activities; providing medical and scientific expertise to support DHS preparedness and response efforts; and leading the Department's workforce health and medical oversight activities. OHA also serves as the primary DHS point of contact for State and local governments on medical and public health issues.

OHA has four strategic goals that coincide with the strategic goals of the Department:

- 1) Provide expert health and medical advice to DHS leadership
- 2) Build national resilience against health incidents
- 3) Enhance national and DHS medical first responder capabilities
- 4) Protect the DHS workforce against health threats

#### **B. Budget Activities:**

The Office of Health Affairs budget is divided into five Program, Project and Activity (PPAs) areas:

##### **BioWatch Program:**

The BioWatch Program promotes the DHS mission to detect biological attacks by managing an early warning system designed to rapidly detect aerosolized biological threat agents that could be used in an intentional wide-area release causing harm to the population. This program deploys collection devices and analytical capability in more than thirty high-risk metropolitan areas, called BioWatch jurisdictions, throughout the nation. The BioWatch Program provides public health officials with a warning of a biological agent release before exposed individuals develop symptoms of illness. This "detect-to-treat" approach provides public health officials with an opportunity to respond aggressively to help mitigate the potentially catastrophic impact on the population of a biological agent release.

##### **Chemical Defense Program (CDP):**

The Chemical Defense Program (CDP) aims to provide Federal, State, and local governments with the knowledge and tools to build and sustain a viable framework for preparedness and

response to high consequence chemical events.

In order to accomplish this mission, the CDP has four main goals:

- 1) Integrate existing Federal chemical defense efforts and programs
- 2) Establish and build upon workforce preparedness processes and procedures to leverage and tie together existing state and local response capability
- 3) Support the enhancement of detection and communication technology
- 4) Develop national best practices guidance documents

The desired end result is to ensure local communities are adequately equipped (risk awareness, technology requirements, decision-support tools, protocols, and best practices) to take action with speed, skill, and effectiveness during a high consequence chemical incident. In order to accomplish this, the program's efforts are directed towards integrating risk assessments and detection capabilities into community preparedness, developing response protocols, and defining best practices.

#### **National Biosurveillance Integration Center (NBIC):**

NBIC collaborates with Federal, State, and local partners to collect, analyze, and share human, animal, plant, food, and environmental biosurveillance information from a myriad of monitoring systems. NBIC provides a Biosurveillance Common Operating Picture to senior decision-makers and partner agencies that provide a consistent, integrated picture of biosurveillance situational awareness for DHS and its partners.

#### **Planning and Coordination (P&C):**

Planning and Coordination is comprised of programs that primarily support Mission 5 of the Quadrennial Homeland Security Review (QHSR): Ensuring Resilience to Disasters and Maturing and Strengthening the Homeland Security Enterprise. The four programs included within this PPA are: Planning and Exercise Support; Food, Agriculture, Veterinary Defense; State and Local Coordination; and, Workforce Health & Medical Support (composed of the following branches: Occupational Health, Medical Liaisons, Medical First Responder, Medical Quality Management). These programs support this mission through a variety of activities directed both externally to Federal, State, and local stakeholders and internally within the Department.

Initiatives within the P&C PPA build resilience by providing appropriate information, resources and guidance to help State and local communities as well as the DHS workforce to bolster efforts to prepare for and respond to catastrophic health threats. In addition, through these initiatives, OHA provides health and medical expertise for formulating national preparedness, contingency planning at all levels, and supports exercises designed to improve preparedness and response to catastrophic incidents across the health security spectrum.

For example, *DHSTogether* and Medical Countermeasure programs provide resiliency to the DHS workforce by providing health and wellness resources. Other initiatives include the development of medical guidance for DHS personnel, the provision of standards and guidelines to DHS medical care providers, and the oversight of DHS quality improvement and medical training.

**Salaries and Expenses (S&E):**

The Salaries and Expenses PPA funds the salaries and benefits for all FTE within OHA and the activities of the Office of the Assistant Secretary (OAS). OAS supports OHA's mission by providing executive direction and leadership to all divisions and branches and ensures OHA's critical mission can be accomplished efficiently and effectively through policy coordination, communications, external relations, financial, human capital, strategic planning, and correspondence management. OAS also provides for the management of all relevant business operations including financial management, program analysis, facilities maintenance and planning, continuity of operations planning, human capital management, and information technology support.

In addition, S&E funds OHA's share of the DHS Working Capital Fund, office supplies, training for the entire organization, travel for senior management, and other various shared services.

**C. Budget Request Summary:**

OHA requests \$166.458 million, 110 full-time positions (FTP) and 101 full-time equivalents (FTE). This is a decrease of \$0.991 million from the FY 2012 Enacted. Funding requested provides for increased funding for the following programs: BioWatch's Generation-3 (Gen-3) and the Medical Countermeasure (MCM) Program.



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Office of Health Affairs

#### Summary of FY 2013 Budget Estimates by Program Project Activity/Appropriation

#### FY 2013 Requested Budget Authority (Dollars in Thousands)

Program Project Activity/Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Salaries and Expenses	104	76	30,596	108	99	29,671	110	101	27,757	2	2	(1,914)	-	-	-	2	2	(1,914)
Planning and Coordination	-	-	3,621	-	-	6,162	-	-	4,907	-	-	(1,255)	-	-	(468)	-	-	(787)
BioWatch	-	-	90,845	-	-	114,164	-	-	125,294	-	-	11,130	-	-	39,904	-	-	(28,774)
National Biosurveillance Integration Center	-	-	5,693	-	-	12,013	-	-	8,000	-	-	(4,013)	-	-	1,000	-	-	(5,013)
Chemical Defense Program	-	-	2,117	-	-	5,439	-	-	500	-	-	(4,939)	-	-	(1,939)	-	-	(3,000)
<b>Subtotal, Discretionary</b>	<b>104</b>	<b>76</b>	<b>132,872</b>	<b>108</b>	<b>99</b>	<b>167,449</b>	<b>110</b>	<b>101</b>	<b>166,458</b>	<b>2</b>	<b>2</b>	<b>(991)</b>	<b>-</b>	<b>-</b>	<b>38,497</b>	<b>2</b>	<b>2</b>	<b>(39,488)</b>
<b>Total, Office of Health Affairs</b>	<b>104</b>	<b>76</b>	<b>132,872</b>	<b>108</b>	<b>99</b>	<b>167,449</b>	<b>110</b>	<b>101</b>	<b>166,458</b>	<b>2</b>	<b>2</b>	<b>(991)</b>	<b>-</b>	<b>-</b>	<b>38,497</b>	<b>2</b>	<b>2</b>	<b>(39,488)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>104</b>	<b>76</b>	<b>132,872</b>	<b>108</b>	<b>99</b>	<b>167,449</b>	<b>110</b>	<b>101</b>	<b>166,458</b>	<b>2</b>	<b>2</b>	<b>(991)</b>	<b>-</b>	<b>-</b>	<b>38,497</b>	<b>2</b>	<b>2</b>	<b>(39,488)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Office of Health Affairs  
BioWatch  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: BioWatch**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>90,845</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>114,164</b>
2013 Adjustments-to-Base	-	-	(28,774)
<b>2013 Current Services</b>	-	-	<b>85,390</b>
2013 Program Change	-	-	39,904
<b>2013 Total Requested Budget Authority</b>	-	-	<b>125,294</b>
Total Change 2012 to 2013	-	-	11,130

OHA requests \$125.294 million in FY 2013 for the BioWatch Program. Within this amount, \$85.390 million is to support BioWatch current operations and the Generation 2 (Gen-2) system, and \$39.904 million is for the Generation 3 (Gen-3) system.

Previous efforts for Gen-3 supported the efforts of Phase I of assay/characterization testing and the Chicago Field Test of candidate Gen-3 detectors. The next steps in the Gen-3 acquisition schedule include Phase II Performance Testing on candidate system(s) and initiating a Four-City OT&E effort.

Performance testing will ascertain the capability of production-ready systems to meet the Department’s biodetection goals prior to larger system procurements for OT&E.

The Gen-3 test and evaluation program is taking an incremental, risk-reduced approach by ensuring that each stage of testing begins only after the successful completion of previous testing efforts. Because of the lengthy time periods to prepare for some aspects of testing, select preparation activities may start earlier to minimize schedule delay if appropriate. The funding requested for the Gen-3 system will support these various stages of testing as follows:

- Stage 1: Performance Testing
  - Test Gen-3 detectors at independent test facility to characterize system performance. This includes assay evaluation, aerosol collector and identification subsystem testing, system level testing and environmental testing.
  - Conduct integration and testing activities for the IT backbone.

- Stage 2: Operational Testing and Evaluation
  - Procure long lead items for the Operational Test & Evaluation (OT&E)
  - Conduct operational and site preparation activities in BioWatch jurisdictions to support OT&E and further deployments
  - Conduct systems engineering, analysis and acquisition support to include readiness and modeling & simulation to support system sitings.
  - Continue the development of Gen-3 exercises, guidance and city-specific concept of operation (CONOPS) for BioWatch jurisdictions.
  
- Ongoing Gen-3 Program Efforts
  - Provide jurisdictional training, program management and Quality Assurance (QA) efforts.
  - Provide independent evaluation of testing results from the Performance Testing and OT&E

The request for continued funding of the Gen-2 system will enable the continuation of current operations in all jurisdictions in which the BioWatch program is presently deployed and operating.

Adjustments-to-Base include:

- Decrease of \$4.774 million for Management Efficiencies including:
  - \$0.926 million for Office of Federal Procurement Policy (OFPP) Directed Purchasing Savings and DHS Strategic Sourcing Initiative.
  - \$0.074 million for DHS Strategic Sourcing Initiative.
  - \$3.774 million to be achieved through contract reviews and internal spend plan reviews.
- Decrease of \$24.000 million for non-recurring costs for the Gen-3 system.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OHA will achieve an OFPP Directed Purchasing Savings of \$0.926 million and DHS Strategic Sourcing Initiative (\$0.074 million) in the BioWatch program.

The BioWatch Program is the only Federally-managed, locally-operated, nationwide biosurveillance system designed to detect the intentional wide-area release of select aerosolized biological agents. The program has been operating in more than 30 high-threat metropolitan areas, called BioWatch jurisdictions, across the country. BioWatch protects millions of people by focusing on the early detection of a biological attack which is critical to the successful treatment of affected populations. The BioWatch Program also provides public health decision makers the time-sensitive and necessary information to respond, mitigate, and recover from a bioterrorist event. BioWatch is the only program that exercises and evaluates our national collective abilities to provide a detect-to-treat notification system alerting the U.S. civilian population to an aerosolized biological attack. While OHA oversees, coordinates, and provides technical support to the BioWatch Program at the Federal level, State and local public health authorities manage the day-to-day program. These State and local stakeholders use the information generated by the detection system as an important tool in deciding whether a biological event of public health significance has occurred.

This budget request includes funding for BioWatch current operations, as well as funding to conduct Gen-3 performance testing and to prepare for OT&E. The current operations request supports the existing Gen-2 system and provides funding for Public Health Service Officers (PHSOs) and support personnel who provide programmatic oversight as well as planning support for the development of new systems. The Gen-3 request builds on past funding for the Gen-3 system by continuing crucial testing and evaluation activities needed to deploy faster detectors. The Gen-3 system will advance current detection technology by providing an automated detection capability.

Current detection capabilities, termed Gen-2, consist of outdoor and a few indoor aerosol collectors whose filters are manually retrieved for transport to and subsequent analysis in a Laboratory Response Network facility. This system, while extremely beneficial, is labor intensive and the results may not be available until 12-36 hours after the release of a biological agent has occurred. In addition, this detection delay is unacceptable for indoor collector use because response actions following notification of an attack 36 hours earlier is problematic due to the time lapse. The transition to an automated detection system (i.e., Gen-3) will improve the time to detect to 4-6 hours, increase population coverage, and provide greater overall cost effectiveness.

The BioWatch Program's current Gen-2 system will be enhanced by the Gen-3 detection capability, which will be a fully autonomous and networked bio-detection system whose function mirrors that of the Gen-2 system, namely, to monitor the air for agents of biological concern. However, unlike the Gen-2 system, Gen-3 is a "laboratory-in-a-box." Sample collection, preparation, analysis, reporting, archiving, self-assessment, failure analysis, waste handling, and fault isolation all occur inside the detector. As a result, the Gen-3 system does not use the labor-intensive collection and transport of samples for laboratory analysis required with the Gen-2 system.

**Department of Homeland Security**  
**Office of Health Affairs**  
**National Biosurveillance Integration Center**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: National Biosurveillance Integration Center**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>5,693</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>12,013</b>
2013 Adjustments-to-Base	-	-	(5,013)
<b>2013 Current Services</b>	-	-	<b>7,000</b>
2013 Program Change	-	-	1,000
<b>2013 Total Requested Budget Authority</b>	-	-	<b>8,000</b>
Total Change 2012 to 2013	-	-	(4,013)

The National Biosurveillance Integration Center (NBIC) PPA requests \$8.000 million in FY 2013, which will fund technical support services, information technology operations and improvements, biosurveillance private sector data acquisitions and support coordination efforts with Federal, State, local and tribal governments.

Adjustments-to-Base include:

- Decrease of \$5.000 million for non-recurring costs of the National Collaborative for Bio-Preparedness.
- Decrease of \$0.013 million for Management Efficiencies to be achieved through contract reviews and internal spend plan reviews.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The National Biosurveillance Integration System (NBIS), the consortium of Federal partners, was established to rapidly identify, analyze and monitor biological events of national concern. NBIS collaborates among Federal and State partners to collect, analyze, and share human, animal, plant, food, and environmental biosurveillance information.

The mission of NBIS is to promote and coordinate effective and timely information gathering, analysis, and sharing regarding biological events of national concern in order to enhance recognition, reduce response time, and promote effective response.

As the managing partner of NBIS, the NBIC organizes data and information from multiple sources. The NBIS then determines those bio-events that have reached reporting thresholds and publishes reports using the Biosurveillance Common Operating Picture (BCOP) in versions for Federal partner agency users and for State and local stakeholders. The State and local BCOP, known as Minerva, has been piloted in a number of states and currently hosts nearly 150 users, many of whom work in the 72 fusion centers around the Nation. NBIC provides State and local Minerva users with the Daily NBIS Monitoring List emails that were previously only being sent to Federal BCOP users. Minerva was rolled out initially to four states – North Carolina, New Jersey, Minnesota, and Washington – in October 2010. Enhancements to Minerva will be conducted in FY 2012 and work will begin on developing means for local users to provide information via the platform.

In GAO Report 10-171: *Biosurveillance: Developing a Collaboration Strategy Is Essential to Fostering Interagency Data and Resource Sharing*, GAO recommended NBIC develop a new mission statement and purpose, address challenges of sharing, define roles and responsibilities, develop partner buy-in, and develop relevant performance metrics.

In response, OHA has drafted an integrated strategic plan for the NBIC in collaboration with the NBIS Member Agencies. The strategic plan utilizes an emergent strategy and outlines milestones for obtaining a fully functional integration center in partnership with the NBIS member agencies, State and local governments and the private sector in four critical areas: collaboration, data integration, analysis and reporting to produce high-quality and timely results. The strategy is focused on leveraging proven expertise in data integration and biosurveillance analytics while retaining DHS management. The core mission of collecting and sharing information across domains on incidents of potential national significance continues, but this emergent strategy hinges upon piloting promising proof of concept demonstrations, learning from them, and reinforcing their success. An important piece of the strategy, the North Carolina Bio-preparedness project integrates and fuses information at State, local, and private sector levels. OHA will continue to refine the work with its stakeholders to integrate the four critical dimensions of integrated biosurveillance. OHA plans to build upon existing and proven constructs to weave together and integrate the nation's biosurveillance system.

OHA has been a key partner and contributor in White House led biosurveillance strategy development. NBIS and the supporting structure provided by the NBIC plays a key role in the effective gathering, monitoring, and dissemination of information across human, animal, plant health, and food safety domains. It also has the ability to weave relevant information from the intelligence community to provide a more complete picture for both biosurveillance community practitioners and senior government decision makers.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Chemical Defense Program**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Chemical Defense Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>2,117</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>5,439</b>
2013 Adjustments-to-Base	-	-	(3,000)
<b>2013 Current Services</b>	-	-	<b>2,439</b>
2013 Program Change	-	-	(1,939)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>500</b>
Total Change 2012 to 2013	-	-	(4,939)

The Chemical Defense Program (CDP) PPA requests \$0.500 million in FY 2013 to provide health and medical expertise related to chemical preparedness, detection, response, and resilience to provide a comprehensive approach to protection from a chemical attack.

Adjustments-to-Base include:

- Decrease of \$3.000 million for non-recurring costs.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Chemical Defense Program has transitioned from a singular focus on the Rapidly Deployable Chemical Defense System (RDCDS) system to one of planning, preparedness, response, and strategic interagency communication in order to comprehensively address the gaps in the chemical defense problem set. CDP aims to provide Federal, State, and local governments with the knowledge and tools to build and sustain a viable framework for preparedness and response to high consequence chemical events.

The program’s efforts are directed towards integrating risk assessments and detection capabilities into community preparedness, developing response protocols, and defining best practices. In addition, the program is focused on assessing the capabilities of commercially available detection equipment so that the program can guide communities toward acquiring the most effective and readily available technologies to protect against significant chemical threats at their high risk sites.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Planning and Coordination**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Planning and Coordination**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>3,621</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>6,162</b>
2013 Adjustments-to-Base	-	-	(787)
<b>2013 Current Services</b>	-	-	<b>5,375</b>
2013 Program Change	-	-	(468)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>4,907</b>
Total Change 2012 to 2013	-	-	(1,255)

OHA requests \$4.907 million in FY 2013 for the Planning and Coordination (P&C) PPA. The funding requested in FY 2013 will continue the efforts in the Workforce Health and Medical Support arena and enable OHA to proceed with important work in the Food, Agriculture, and Veterinary defense area. The Planning and Exercise branch will now support all exercises within OHA, which are proposed to be transferred from BioWatch.

Adjustments-to-Base include:

- Decrease of \$0.375 million for Management Efficiencies to include:
  - \$0.273 million through OFPP Directed Purchasing Savings.
  - \$0.102 million to be achieved through contract reviews and internal spend plan reviews.
- Decrease of \$0.412 million to transfer funding for two positions from P&C to the Salaries and Expenses PPA.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

OHA will achieve an OFPP Directed Purchasing Savings of \$0.273 million in their Planning and Exercise Support Branch. They will reduce contractor support within this program to achieve this efficiency.

Planning and Coordination PPA is comprised of initiatives that primarily support QHSR Mission 5: Ensuring Resilience to Disasters. Major programs include: Planning and Exercise Support; Food,



Agriculture, Veterinary Defense (FAVD); State and Local Coordination; and Workforce Health & Medical Support (WH&MS).

### **Planning and Exercise Support Branch (PESB)**

The Planning and Exercise Support Branch (PESB) provides health and medical subject expertise in the development of Federal plans and policies related to natural and man-made events having catastrophic consequences on human and animal health. These plans and policies are germane to DHS, throughout the Federal government, and in support of preparedness and response activities at the State, local, territorial, and tribal level. In addition to planning and policy development, PESB develops, conducts, influences, and participates in a broad range of exercises, workshops, seminars, and facilitated discussions that advance national preparedness and response capability for threats having catastrophic health consequences, with a focus on chemical, biological, radiological and nuclear (CBRN) events. The PESB represents all DHS health security interests in the areas of planning, policy development, and exercise support, aligning these efforts into a single office.

In support of National Preparedness, PESB is participating in the development of a national preparedness goal, a national preparedness system, and the development of a number of frameworks to enhance national preparedness (Prevention, Protection, Preparedness, Mitigation, and Recovery). These products were directed by Presidential Policy Directive 8: National Preparedness (PPD-8), issued by the President in March 2011. While work is already underway, PESB expects that the workload to support this multi-year program will increase in the near term. The PPD-8 effort is consistent with the DHS QHSR and the OHA Strategic Framework. The resulting preparedness system will result in a full complement of frameworks and strategies that enhance national preparedness.

### **Food, Agriculture, and Veterinary Defense (FAVD)**

The Food, Agriculture, and Veterinary Defense (FAVD) Branch initiative leads the coordination of the Department's programs to ensure the security of our nation's food, agriculture, human and animal health. FAVD experts support the Department's efforts to enhance preparedness through capabilities development and facilitate the integration of the emergency management services community into Federal, State, local, territorial, and tribal food and agriculture sector disaster preparedness activities.

### **State and Local Coordination**

The State and Local Coordination initiative develops State and local guidance for health and medical experts to better access Federal grant and training programs which will improve public health preparedness capability. Additionally, this initiative facilitates the inclusion of State and local public health professionals within the national network of State and Local Fusion Centers which improves the sharing of public health threat information.

### **Workforce Health and Medical Support Division (WHMS)**

The Workforce Health & Medical Support (WHMS) Division is comprised of four branches, which lead the Department's workforce health and medical oversight activities:

- The Medical First Responder Coordination branch provides medical guidance, standards, policy, and outreach to medical first responder stakeholders
- The Occupational Health branch mitigates the adverse health impacts of work-related risks for the DHS workforce through medical guidance, programs, standards, and policy.
- The Medical Quality Management branch advises, consults, and assists DHS Components on issues related to the improvement of the quality, safety, efficiency, and effectiveness of health care for all stakeholders.
- The Medical Liaison branch provides medical guidance to the DHS Operational Components<sup>1</sup> on issues related to planning, policy, response and workforce health protection in order to ensure standardization and alignment with DHS headquarters' policy and mission.

#### Medical First Responder Coordination

This initiative ensures medical first responder coordination by providing support to DHS personnel who perform operational medical services. DHS has thousands of medical personnel deployed throughout the country, who provide care for wide-ranging and often remotely deployed personnel, from border agents in the Southwest desert, to DHS aviation personnel engaged in counternarcotics and counter-smuggling operations. OHA supports these personnel through the following: developing health guidance and policies; providing health protection in dangerous work environments; and facilitating health screening programs to help ensure that responders are able to support the Department's missions, while minimizing health threats and work-related disability.

#### Occupational Health

The WHMS initiative also focuses on DHS occupational health, which involves mitigation of adverse health impacts of work-related risks for the DHS workforce by developing strategy, policy, requirements and metrics for the medical aspects of a Department-wide occupational health and safety program. This is done in partnership with the Office of Safety and Environmental Programs within the Office of the Under Secretary for Management. OHA provides health and medical consultation resources to DHS Components on a 24/7 basis. OHA consultation services ensure regulatory compliance and consistency with industry best practices in support of various component missions with regard to medical, health, and safety considerations. The initiative also assists the Department's Office of the Chief Human Capital Officer in developing physical evaluation programs (pre-placement, fitness-for-duty, return-to-work, etc.) and performing post-incident analyses.

#### Medical Quality Management

The initiative ensures medical quality assurance by supporting the "One DHS" concept through the following: developing cross-DHS Emergency Medical Services (EMS) protocols; quality assurance standards, credentialing standards and validation processes; providing quality assurance and medical advice; advising FEMA on safety and environmental health housing issues and creating a medical oversight framework.

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<sup>1</sup> DHS Operational Components consist of FEMA, TSA, USCG, CIS, CBP, ICE, USSS

Medical Liaisons

The initiative provides support to DHS Operational Components through providing medical and public health subject matter expertise. The Branch serves as the direct trusted agent of the Chief Medical Officer (CMO) to the components under the statutory mandate to the CMO. Advice in planning, response, workforce protection policy and direct medical reach back are provided. Working within OHA, the Medical Liaison Branch supports the traveler health restriction program and the medical first responder programs in DHS.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Salaries and Expenses**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Salaries and Expenses**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>104</b>	<b>76</b>	<b>30,596</b>
<b>2012 Enacted Budget Authority</b>	<b>108</b>	<b>99</b>	<b>29,671</b>
2013 Adjustments-to-Base	2	2	(1,914)
<b>2013 Current Services</b>	<b>110</b>	<b>101</b>	<b>27,757</b>
<b>2013 Total Requested Budget Authority</b>	<b>110</b>	<b>101</b>	<b>27,757</b>
Total Change 2012 to 2013	2	2	(1,914)

Salaries and Expenses (S&E) PPA requests \$27.757 million in FY 2013, which will fund 110 full-time positions (FTP) and 101 full-time equivalents (FTE).

Adjustments-to- base include:

- Increase of \$0.412 million for the transfer of funding from the Planning and Coordination PPA for 2 FTE positions.
- Decrease of \$0.256 million for GSA Rent that is billed to OHA by the DHS Working Capital Fund (WCF).
- Increase of \$0.055 million for 0.5% pay inflation.
- Decrease of \$0.151 million for Management Efficiencies listed below:
  - PCS Costs \$0.012 million
  - General TDY and Travel \$0.100 million
  - Long-term TDY more than 30-days \$0.008 million
  - HQ Admin Efficiency across DHS \$0.031 million
- Decrease of \$1.975 million for the scaling down of office wide mission support contracts, staffing re-baseline, and reduction in assessed Working Capital Fund (WCF) fees.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The S&E PPA funds the salaries and benefits for all FTE within OHA and the activities of the Office of the Assistant Secretary (OAS). The Assistant Secretary and Chief Medical Officer leads a team of doctors, veterinarians, nurses, scientists, public health professionals, and other public servants whose expertise and skills contribute to achieving the Office’s mission. OAS provides executive direction

and leadership to all divisions and branches and ensures OHA's critical mission can be accomplished efficiently and effectively. OAS includes both the Immediate Office of the Assistant Secretary and Chief Medical Officer and the Office of the Chief of Staff.

The Immediate Office of the Assistant Secretary and Chief Medical Officer consists of the Assistant Secretary and Chief Medical Officer, the Deputy Assistant Secretary and Deputy Chief Medical Officer, General Counsel, Medical Advisors, a Futures Advisor, and a Global Health Security Advisor. These individuals advise the Assistant Secretary and Chief Medical Officer on specific, highly complex, strategic medical and public health issues and policies.

The Office of the Chief of Staff consists of the Chief of Staff, Deputy Chief of Staff and the Office's policy, communications, correspondence, and executive support functions, and the management operations division (finance, acquisition, human capital, information technology, emergency preparedness, and continuity of operations, and facilities/property services).

In addition, S&E funds OHA's share of the DHS Working Capital Fund, office supplies, training for the entire organization, professional development certification, and continuing medical education, travel for senior management, and other shared services.

## IV. Program Justification Changes

**Department of Homeland Security  
Office of Health Affairs  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** BioWatch GEN 3  
PPA: BioWatch  
Program Increase: Positions 0, FTE 0, Dollars \$39,904

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	39,904
<b>Total Request</b>	-	-	<b>18,307</b>	-	-	<b>24,000</b>	-	-	<b>39,904</b>

Strategic Goals & Objectives: Preventing Terrorism and Enhancing Security

- Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities

Ensuring Resilience to Disasters

- Goal 5.2: Enhance Preparedness

**Description of Item**

The BioWatch Program requires \$125.294 million in FY 2013. \$85.390 million is to support BioWatch current operations and the Generation 2 (Gen-2) system, and \$39.904 million is for the Generation 3 (Gen-3) system.

Previous efforts for Gen-3 supported the efforts of Phase I of assay/characterization testing and the Chicago Field Test of prototype candidate Gen-3 detectors. The next steps in the Gen-3 acquisition schedule include Phase II Performance Testing on production-ready candidate system(s) and initiating a four city OT&E effort. The Performance Testing will ascertain the capability of production-ready systems to meet the Department's biodetection goals prior to larger system procurements for OT&E. Each stage of testing begins only after the successful completion of previous testing efforts.

Funding requested for BioWatch Gen-3 will include:

- Stage 1: Performance Testing
  - \$3.1 M for the detection and decision support systems (to include assays and the Information Management System)
  - \$1.0 M for Systems engineering, analysis and acquisition (to include technology readiness assessment and modeling & simulation supporting site modeling)
  - \$4.1 M for Systems Test & Evaluation
- Stage 2: Operational Test and Evaluation
  - \$2.7 M for System Production, which funds the procurement of long lead items for the operational test
  - \$6.8M for development of guidance documents, city-specific CONOPS for OT&E and commensurate exercises
  - \$2.4 M for CONOPS training to support OT&E
  - \$16.6 M for operational and site activation to include site preparation and readiness
- Ongoing Gen-3 program efforts
  - \$0.4 M for data evaluation during testing
  - \$1.3M for program management
  - \$1.5 M continues to fund quality assurance evaluations

These activities are the continuation of multi-year efforts to test and evaluate the Gen-3 system for use across the nation.

### **Justification**

Current detection capabilities, termed Gen-2, reflect the best available technology in use. The Gen-2 system consists of outdoor aerosol collectors whose filters are manually retrieved for transport to and subsequent analysis in a BioWatch laboratory. This system, while extremely beneficial, is labor intensive and the data results may be time-delayed relative to the time of the attack. The new Gen-3 system is designed to significantly reduce the time between exposure to a biological agent and detection following a biological aerosol attack. This in turn will provide additional time critical to organizing and dispensing medical countermeasures to jurisdictions before people become symptomatic following exposure to a pathogen. Therefore, the more time available to organize an effective response, the more lives likely to be saved.

### **Impact on Performance**

The BioWatch Program supports Department's goal of ensuring resilience to disasters and/or terrorist attacks by providing the capability to detect bio-aerosol terrorist operations. The program is also aligned with OHA's responsibility to lead the Department's biodefense activities. An effective and timely detection capability is critical to achieving this goal.

With the FY 2013 request, the BioWatch Program's Gen-3 system will continue operational test and evaluation efforts to decrease detection time from 12-36 hours to 4-6 hours, which will allow localities to rapidly conduct response and mitigation efforts.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Medical Countermeasures Program  
PPA: Planning and Coordination  
Program Increase: Positions 0, FTE 0, Dollars \$1,900

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	1,900
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>1,900</b>

- Strategic Goal(s) & Objective(s): Mission 5: Ensuring Resilience to Disasters
- Goal 5.2: Enhance Preparedness
  - Goal 5.3: Ensure Effective Emergency Response
  - Goal 5.4: Rapidly Recover

**Description of Item**

In recognizing the risks and the need to protect the DHS workforce, OHA has developed a Medical Countermeasure (MCM) strategy that will mitigate the impact to employees and ensure national resilience. An MCM strategy is required by Executive Order (E.O.) 13527, “Establishing Federal Capability for the Timely Provision of Medical Countermeasures Following a Biological Attack.” Section 4 of the E.O. specifically mandates Federal agencies to establish mechanisms for the provision of MCM to ensure that the mission-essential functions of the executive branch continue following an attack, including DHS. The Department has a responsibility to provide MCM directly to its mission essential personnel to ensure continuity of operations.

**Justification**

The FY 2013 request will allow OHA to fulfill its responsibility of executing this critical mission. In addition to training, program support, and planning activities, this funding provides antivirals and antibiotics to cover the DHS workforce, those in care & custody, as well as critical contractors. Specifically, the FY 2013 request allows the MCM program to:

- Maintain DHS antibiotic stockpile at 325,000 level by rotating/replenishing expiring drugs
- Maintain DHS antiviral stockpile at 254,000 level by rotating/replenishing expiring drugs



- Pre-position antibiotics at 350 DHS Component locations (increase by 100 locations from FY 2012)
- Purchase initial stockpile of Potassium Iodide (KI) in amount of 20,000 courses

Funding will allow DHS to replenish the stockpile as it begins to expire in FY 2013 and support essential training and program support. Without the MCM program, DHS will not be able to sustain mission essential personnel in a biological or radiological event.

### **Impact on Performance**

The MCM Program supports DHS's goal of ensuring resilience to disasters and/or terrorist attacks by ensuring federal capability following a biological attack.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** NBIC  
PPA:  
Program Increase: Positions 0, FTE 0, Dollars \$0

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	1,000
<b>Total Request</b>	-	-	<b>7,686</b>	-	-	<b>7,000</b>	-	-	<b>1,000</b>

- Strategic Goal(s) & Objective(s): Mission 1: Preventing Terrorism and Enhancing Security
- Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities
- Mission 5: Ensuring Resilience to Disasters; Ensure Effective Emergency Response
- Goal 5.3: Ensure Effective Emergency Response

**Description of Item**

The National Bio-surveillance Integration Center (NBIC) PPA requests \$1.0 million in FY 2013, which will fund pilot projects that enhance technical support services, information technology operations and improvements, bio-surveillance private sector data acquisitions and support coordination efforts with Federal, State, local and tribal governments.

**Justification**

OHA requests funding within the NBIC PPA to implement NBIC’s newly developed strategy *National Biosurveillance Integration Strategy*. The NBIC or “The Center” was established to enhance the integration of U.S. biosurveillance efforts in 2007 under Public Law 110-53, “*Implementing Recommendations of the 9/11 Commission Act of 2007*” amended Title III of the Homeland Security Act of 2002 and assigned the Center to enhance the Federal government’s capability to rapidly identify, characterize, localize and track biological events of national concern; to disseminate information; and to oversee development and operation of the National Biosurveillance Integration System (NBIS – “The System”).

This *National Biosurveillance Integration Strategy* describes a vision for achieving the United States Government's biosurveillance goals to provide early detection and warning of a health incident of potential national significance, actionable and timely analysis, and ongoing situational awareness to support informed decision making. Any incident, once detected, must quickly be characterized to inform actions that will mitigate the situation. Information must be integrated and communicated effectively to create the situational awareness and support the expert analysis that enables leaders and responders to make optimum decisions, even in the face of incomplete or constantly changing information. NBIC's investments in "pilot projects" in 2013 will be focused on advancing the System's capabilities as well as informing planners on how a fully functional and operating system could be designed.

### **Impact on Performance**

NBIC will drive the development and evaluation of pilots that:

- Leverage current existing biosurveillance assets for an efficient, scalable, useable, and cost effective structure (incorporation of DHS data sets into the NBIS community)
- Apply new and existing successful analytic structures and tools for integration and user adoption
- Create an open supported information sharing and problem solving environment to promote key partner experimentation and collaboration
- Define measures and benchmarks for success and a design strategy to incorporate measurable integrated information sharing criteria
- Examine and clarify underlying assumptions for successful integration parameters and components

Measure the results after a defined period to determine success for a larger implementation of the process, tool, policy, etc.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** DHSTogether - Program Funding  
PPA: Planning and Coordination  
Program Decrease: Positions 0, FTE 0, Dollars \$(1,000)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	1,500
Program Decrease							-	-	(1,000)
<b>Total Request</b>	-	-	-	-	-	<b>1,500</b>	-	-	<b>500</b>

Strategic Goal(s) & Objective(s): Mission 5: Ensuring Resilience to Disasters

- Goal 5.2: Enhance Preparedness
- Goal 5.3: Ensure Effective Emergency Response
- Goal 5.4: Rapidly Recover

Maturing and Strengthening the Homeland Security Enterprise

**Description of Item**

The total request for the *DHSTogether* initiative is \$0.500 million in the Planning & Coordination PPA which is a \$1.000 million decrease to the program from FY12 funding levels. The \$0.500 million will support the *DHSTogether* Employee and Organizational Resilience Initiative to ensure that Department employees have the tools and resources to manage the stresses inherent in these occupations.

**Justification**

In late 2009, the Secretary of DHS tasked OHA with the creation of an employee resilience and wellness program with guidance from a new leadership level component taskforce. OHA approached this task with a focus on building a strong development team, analyzing existing data to define the program, and reaching out across the Federal government to learn about best practices of the top Federal workplaces.

In January 2010, the new initiative, called “*DHSTogether: Building a more resilient workforce,*” was introduced to employees through a “Safety Stand Down” event and the *DHSTogether* Component Leadership Task Force held their inaugural meeting (*DHSTogether* Task Force).

During the initial training effort, approximately 190,000 employees heard from the Secretary and other Component leaders, watched a video training presentation about resilience, and most notably, participated in facilitated dialogue with supervisors and coworkers about methods to improve the workplace. Feedback from the Safety Stand Down training and dialogues were collected and continue to be incorporated as part of the program's development.

Moving forward, OHA will utilize an overarching resilience framework that will unify existing activities and provide a platform for leadership and to build a culture of support. Further development of the *DHSTogether* program to meet the strategic and recommended level of effectiveness will require dedicated funding and resources.

The *DHSTogether* Task Force has outlined various immediate actions, including the following items that fall into the following strategic pillars:

#### STRATEGIC COMMUNICATIONS

OHA is collaborating with the Office of Public Affairs to develop and implement a *DHSTogether* communications strategy that informs leadership and employees on resilience issues and initiatives. The initial communications message, identified through the feedback from the Safety Stand-down, focuses on mental health and the need to better inform our employees on their ability to seek help without adversely affecting their security clearance.

#### DEPARTMENT-WIDE TRAINING

The training strategies and requirements include the development, production and delivery of employee and supervisor training specific to the prevention of employee suicide and risk identification. In collaboration with Office of the Chief Human Capital Officer (OCHCO) and Federal Law Enforcement Training Center (FLETC), leadership/supervisory training will be developed that incorporates resilience and suicide prevention concepts into existing mandatory supervisor and Leadership Training Curricula and administered by OCHCO. Also, OHA, in collaboration with FLETC and OCHCO will develop DHS-wide peer support and peer support coordinator training to address critical incident stress management needs throughout the Department.

OHA and OCHCO will provide a DHS-wide individual health risk assessment and management tool. This health risk assessment will allow DHS to better understand the education, support and training needs of our workforce, and how to target needs to the appropriate subgroups. This initiative also incorporates a uniform data collection policy for tracking and measuring resiliency data.

#### CONSISTENCY OF POLICIES, PROCEDURES, AND PROGRAMS FOR DHS

OHA and OCHCO are working with the *DHSTogether* Task Force to identify and develop consistent policies, procedures, and programs that support employee and organizational resilience across the Department. Incorporating best practice models, OHA and OCHCO will be leading the process to disseminate these to all DHS Components and support the roll-out of successful pilot programs across the Department.

#### Impact on Performance

*DHSTogether* will focus the program on efforts which will effectively deploy and communicate the DHS-Wide Resilience training and carryout the DHS-wide Health Risk Assessments. .

## **DHS-Wide Resilience and Wellness Training**

DHS*Together* will develop, distribute and apply the training necessary to create a supportive DHS culture that empowers employees to seek help by raising awareness and increasing access to resources. The implementation of DHS-Wide training programs provides a consistent message to employees that the issue of resilience and wellness is important and a leadership priority.

Implementation of DHS-Wide Resilience training will provide the DHS workforce with the necessary skills to help themselves and others in need. Best practices from the Department of Defense have shown that encouragement for help seeking behavior is best delivered through standardized training delivery.

## **DHS-Wide Health Risk Assessment**

The DHS-wide Health Risk Assessment will impact the Department's ability to quantify our workforce's baseline resilience and well-being. Implementation of a Health Risk Assessment is the only mechanism for assessing our employees; existing assessment mechanisms such as the Employee Viewpoint Survey and Federal Employee Health Benefits Health Risk Data do not provide quantifiable metrics for baseline assessment of the DHS workforce.

Due to the size of the Department, it is difficult to provide consistent resources to all DHS employees. Execution of an online Health Risk Assessment ensures the entire workforce will have access to consistent and standardized resources and will provide DHS*Together* with a risk assessment that quantifies the baseline resilience and wellness of our workforce.

## **DHS-Wide Health Risk Assessment**

The DHS-wide health risk assessment and management tool will impact the Department's ability to quantify our workforce's baseline resilience and wellbeing. Implementation of a Health Risk Assessment is the only mechanism for assessing our employees; existing assessment mechanisms such as the Employee Viewpoint Survey and Federal Employee Health Benefits Health Risk Data do not provide quantifiable metrics for baseline assessment of the DHS workforce.

Due to the size of the Department it is difficult to provide consistent resources to all DHS employees, execution of an online Health Risk Assessment ensures the entire workforce will have access to consistent and standardize resources and will provide DHS*Together* with a risk assessment that quantifies the baseline resilience and wellness of our workforce.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** Chemical Defense Program  
PPA: Chemical Defense Program  
Program Decrease: Positions 0, FTE 0, Dollars \$(1,939)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	2,439
Program Decrease							-	-	(1,939)
<b>Total Request</b>	-	-	<b>2,034</b>	-	-	<b>5,439</b>	-	-	<b>500</b>

Strategic Goals & Objectives: Preventing Terrorism and Enhancing Security

- Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear Materials and Capabilities

Ensuring Resilience to Disasters

- Goal 5.2: Enhance Preparedness

**Description of Item**

The Chemical Defense Program (CDP) integrates risk assessments and detection capabilities into community preparedness, developing response protocols, and defining best practices. In addition, the program is focused on assessing the capabilities of commercially available detection equipment so that the program can guide communities toward acquiring the most effective and readily available technologies to protect against significant chemical threats at their high risk sites.

The CDP documents lessons learned and best practices captured during scheduled demonstration projects, in order to serve as future guidance for other communities to design chemical detection and defense frameworks tailored to their individual requirements and resource availability. The incorporation of lessons learned, with coordination among DHS Components and other Federal agencies is a critical component to the design of the chemical defense framework. Specifically, the future guidance documents from these endeavors will facilitate linking detection technologies to threat, risk and vulnerability assessments, preparedness efforts, and rapid response actions that will save lives.

## **Justification**

CDP will provide Subject Matter Expertise to advise the Secretary, the Chief Medical Officer and Components on the medical toxicology, industrial hygiene and responder workforce protection related to chemical threats.

## **Impact on Performance**

The program will maintain chemical defense expertise in order to support high-level Department priorities. CDP will review and provide input into chemical response planning and training curriculum development led by FEMA as well as co-chair and serve on several sub-Interagency Policy Committees (IPCs) led by the White House (e.g. Mass Decon Working Group, Homeland Presidential Directive (HSPD) – 22 Working Group) and other interagency efforts (e.g. Chemical Terrorism Risk Assessment (CTRA) subject matter expertise elicitation). In addition, additional funding (\$3.0 million) was provided in FY12 to support two demonstration projects; these efforts will be completed in FY13.



**Department of Homeland Security**  
**Office of Health Affairs**  
**Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 3:** Planning & Exercise/State and Local  
PPA: Planning and Coordination  
Program Decrease: Positions 0, FTE 0, Dollars \$(1,368)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	2,681
Program Decrease							-	-	(1,368)
<b>Total Request</b>	-	-	<b>880</b>	-	-	<b>2,681</b>	-	-	<b>1,313</b>

Strategic Goals & Objectives: Ensuring Resilience to Disasters

- Goal 5.2: Enhance Preparedness
- Goal 5.3: Ensure Effective Recovery and Response

**Description of Item**

The Planning and Exercise Support Branch (PESB) provides health and medical subject expertise in the development of Federal plans and policies related to natural and man-made events having catastrophic consequences on human and animal health. These plans and policies are germane to DHS, throughout the Federal government, and in support of preparedness and response activities at the State, local, territorial, and tribal level. State and Local Initiatives (SLI) serve as a coordinator of all state and local community activities across OHA to develop preparedness and response capabilities and ensure information sharing.

**Justification**

In support of National Preparedness, PESB participated in the development of a National Preparedness Goal, a National Preparedness System, and the development of a number of frameworks to enhance national preparedness (Prevention, Protection, Preparedness, Mitigation, and Recovery). These products were directed by Presidential Policy Directive 8: National Preparedness (PPD-8), issued by the President in March 2011. While work is already underway, PESB expects that the workload to support this multiyear program will increase in the near term. The PPD-8 effort is consistent with the DHS Quadrennial Homeland Security Review and the OHA Strategic Framework. The resulting preparedness system will result in a full complement of frameworks and strategies that enhance national preparedness.

In addition to planning and policy development, PESB develops, conducts, influences, and participates in a broad range of exercises, workshops, seminars, and facilitated discussions that advance national preparedness and response capability for threats having catastrophic health consequences, with a focus on chemical, biological, radiological and nuclear (CBRN) events. The PESB represents all DHS health security interests in the areas of planning, policy development, and exercise support, aligning these efforts into a single office.

As the coordinator of all State and local community activities across OHA, SLI provides the following:

- Health Security guidance, communication and coordination activities to the state and local public health and homeland security partners.
- Technical assistance and support to health security partners facilitates development of health security capabilities and establish information exchange mechanisms to share appropriate CBRN and health-related threat intelligence with state and local public health officials, first responders, and other state, local, tribal, and territorial customers.
- State and local public health officials' security clearances that are critical for the sharing of classified CBRN and health threat information.

Additionally, the Planning and Exercise Support Branch will be further reduced by \$.273 million for management efficiencies as mentioned in the P&C narrative. The total FY13 program budget for PESB and SLI is \$1.040 million.

### **Impact on Performance**

The total FY13 program budget for PESB and SLI is \$1.300 million, a reduction of \$1.370 million from FY12. PESB will implement 50% of the exercises initially planned for FY13, with the remaining exercises implemented in future years, as outlined in the Multiyear Exercise Plan (MEP). The purpose of the Multiyear Exercise Plan (MEP) is to provide a framework that coordinates with the FEMA National Exercise Division efforts, recognizing their responsibility with implementing the National Exercise Program, the Senior Officials Exercise Program, and various other projects that involve planning, conducting, and evaluating emergency preparedness exercises among stakeholders in the Homeland Security Enterprise.

The MEP will be updated and refined annually. It provides OHA with a roadmap to follow in accomplishing the priorities described in the OHA Strategic Framework. Each priority is linked to a corresponding National Priority, and, if applicable, an Improvement Plan action. Each priority is further linked to the associated target capabilities being developed and evaluated during the training and exercises that will then help the jurisdictions obtain the appropriate capabilities.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For necessary expenses of the Office of Health Affairs, \$166,458,000; of which \$27,757,000 is for salaries and expenses and \$85,390,000 is for BioWatch operations: Provided, That \$53,311,000 shall remain available until September 30, 2014, for biosurveillance, BioWatch Generation 3, chemical defense, medical and health planning and coordination, and workforce health protection: Provided further, That not to exceed \$2,500 shall be for official reception and representation expenses.*

#### **Explanation of Changes:**

No substantive changes

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**Office of Health Affairs**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>104</b>	<b>76</b>	<b>132,872</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>108</b>	<b>99</b>	<b>167,449</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Total, Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
FY 2013 Pay Increase	-	-	55
Transfer to S&E from P&C	2	2	412
<b>Total, Increases</b>	<b>2</b>	<b>2</b>	<b>467</b>
<b>Decreases</b>	-	-	-
GSA Rent	-	-	(256)
Management Efficiencies	-	-	(7,288)
Non-Recurring BioWatch Costs	-	-	(24,000)
Non-Recurring CDP Costs	-	-	(3,000)
Non-Recurring NBIC Costs	-	-	(5,000)
Transfer from P&C to S&E	-	-	(412)
<b>Total, Decreases</b>	-	-	<b>(39,956)</b>
<b>Total, Adjustments-to-Base</b>	<b>2</b>	<b>2</b>	<b>(39,488)</b>
<b>FY 2013 Current Services</b>	<b>110</b>	<b>101</b>	<b>127,961</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
BioWatch GEN 3 - Acquisition	-	-	39,904
Medical Countermeasures Program	-	-	1,900
NBIC Program Funding	-	-	1,000
<b>Total, Increases</b>	-	-	<b>42,804</b>
<b>Decreases</b>	-	-	-
Chemical Defense Program	-	-	(1,939)
DHSTogether - Program Funding	-	-	(1,000)
Planning & Exercise/State and Local	-	-	(1,368)
<b>Total, Decreases</b>	-	-	<b>(4,307)</b>
<b>Total, Program Changes</b>	-	-	<b>38,497</b>
<b>FY 2013 Requested Budget Authority</b>	<b>110</b>	<b>101</b>	<b>166,458</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>2</b>	<b>2</b>	<b>(991)</b>

## C. Summary of Requirements

**Department of Homeland Security**  
**Office of Health Affairs**  
 Summary of Requirements  
 (Dollars in Thousands)

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>104</b>	<b>76</b>	<b>132,872</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>108</b>	<b>99</b>	<b>167,449</b>
<b>Adjustments-to-Base</b>	-	-	-
Increases	2	2	467
Decreases	-	-	(39,956)
<b>Total, Adjustments-to-Base</b>	<b>2</b>	<b>2</b>	<b>(39,488)</b>
<b>FY 2013 Current Services</b>	<b>110</b>	<b>101</b>	<b>127,961</b>
<b>Program Changes</b>	-	-	-
Increases	-	-	42,804
Decreases	-	-	(4,307)
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>38,497</b>
<b>FY 2013 Requested Budget Authority</b>	<b>110</b>	<b>101</b>	<b>166,458</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>2</b>	<b>2</b>	<b>(991)</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Salaries and Expenses	108	99	29,671	2	2	(1,914)	-	-	-	110	101	27,757	2	2	(1,914)
Planning and Coordination	-	-	6,162	-	-	(787)	-	-	(468)	-	-	4,907	-	-	(1,255)
BioWatch	-	-	114,164	-	-	(28,774)	-	-	39,904	-	-	125,294	-	-	11,130
National Biosurveillance Integration Center	-	-	12,013	-	-	(5,013)	-	-	1,000	-	-	8,000	-	-	(4,013)
Chemical Defense Program	-	-	5,439	-	-	(3,000)	-	-	(1,939)	-	-	500	-	-	(4,939)
<b>Total</b>	<b>108</b>	<b>99</b>	<b>167,449</b>	<b>2</b>	<b>2</b>	<b>(39,488)</b>	<b>-</b>	<b>-</b>	<b>38,497</b>	<b>110</b>	<b>101</b>	<b>166,458</b>	<b>2</b>	<b>2</b>	<b>(991)</b>

## D. Summary of Reimbursable Resources

### Department of Homeland Security Office of Health Affairs Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Customs and Border Protection	-	-	48	-	-	-	-	-	-	-	-	-
DHS Science & Technology	-	-	297	-	-	368	-	-	374	-	-	6
Department of Homeland Security OHA/PI	-	-	-	-	-	204	-	-	207	-	-	3
Department of Homeland Security, OPO	-	-	169	-	-	175	-	-	178	-	-	3
Federal Emergency Management Agency	-	-	1,613	-	-	1,282	-	-	1,302	-	-	21
Immigration and Customs Enforcement	-	-	33,471	-	-	38,321	-	-	38,934	-	-	613
Office of the Chief Administrative Officer	-	-	265	-	-	-	-	-	-	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>35,863</b>	-	-	<b>40,349</b>	-	-	<b>40,995</b>	-	-	<b>646</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Salaries and Expenses	-	-	35,863	-	-	40,349	-	-	40,995	-	-	646
<b>Total Obligations</b>	-	-	<b>35,863</b>	-	-	<b>40,349</b>	-	-	<b>40,995</b>	-	-	<b>646</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security**  
**Office of Health Affairs**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	8,402	11,615	12,100	485
11.3 Other than full-time permanent	461	-	-	-
11.5 Other personnel compensation	95	-	-	-
11.8 Special Service Pay	3,709	2,775	2,637	(138)
12.1 Benefits	2,373	2,602	2,702	100
<b>Total, Personnel and Other Compensation Benefits</b>	<b>15,040</b>	<b>16,992</b>	<b>17,439</b>	<b>447</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	730	947	790	(157)
23.1 GSA rent	3,330	3,330	3,074	(256)
23.2 Other rent	46	-	-	-
23.3 Communications, utilities, and misc. charges	98	-	-	-
25.1 Advisory and assistance services	46,590	68,589	72,172	3,583
25.2 Other services	364	-	-	-
25.3 Purchases from Gov't accts.	33,418	39,788	26,136	(13,652)
25.4 O&M of facilities	25	-	-	-
26.0 Supplies and materials	1,911	17,111	14,652	(2,459)
31.0 Equipment	240	10,000	4,245	(5,755)
41.0 Grants/Subsidies/Contributions	31,080	31,415	27,950	(3,465)
<b>Total, Other Object Classes</b>	<b>117,832</b>	<b>171,180</b>	<b>149,019</b>	<b>(22,161)</b>
<b>Total, Direct Obligations</b>	<b>132,872</b>	<b>188,172</b>	<b>166,458</b>	<b>(21,714)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(20,723)	-	20,723
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(20,723)</b>	<b>-</b>	<b>20,723</b>
<b>Total Requirements</b>	<b>132,872</b>	<b>167,449</b>	<b>166,458</b>	<b>(991)</b>
<b>Full Time Equivalents</b>	<b>76</b>	<b>99</b>	<b>101</b>	<b>2</b>

## F. Permanent Positions by Grade

### Department of Homeland Security Office of Health Affairs Permanent Positions by Grade

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	4	4	4	-
Total, EX	1	1	1	-
GS-15	28	28	30	2
GS-14	33	35	35	-
GS-13	12	12	12	-
GS-12	8	9	9	-
GS-11	8	9	9	-
GS-9	2	2	2	-
Other Graded Positions	8	8	8	-
<b>Total Permanent Positions</b>	<b>104</b>	<b>108</b>	<b>110</b>	<b>2</b>
Unfilled Positions EOY	20	-	-	-
Total Permanent Employment EOY	104	108	110	2
Headquarters	104	108	110	2
<b>Total, Office of Health Affairs</b>	<b>104</b>	<b>108</b>	<b>110</b>	<b>2</b>
<b>Full Time Equivalents</b>	<b>76</b>	<b>99</b>	<b>101</b>	<b>2</b>
Average ES Salary	177,400	177,400	178,287	887
Average GS Salary	107,484	112,087	112,647	560
Average Grade	13	14	14	-



## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**Office of Health Affairs**  
**Chemical Defense Program**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.8 Special Service Pay	355	237	237	-
<b>Total, Personnel and Compensation Benefits</b>	<b>355</b>	<b>237</b>	<b>237</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	52	89	51	(38)
25.1 Advisory and assistance services	332	232	32	(200)
25.3 Purchases from Gov't accts.	1,378	5,242	180	(5,062)
<b>Total, Other Object Classes</b>	<b>1,762</b>	<b>5,563</b>	<b>263</b>	<b>(5,300)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(361)	-	361
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(361)</b>	-	<b>361</b>
<b>Total Requirements</b>	<b>2,117</b>	<b>5,439</b>	<b>500</b>	<b>(4,939)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Chemical Defense Program Mission Statement

OHA Chemical Defense Program provides health and medical expertise related to chemical preparedness, response, and resilience in support of a Chemical Defense Architecture to ensure an end-to-end approach to Chemical Defense. In addition, the Chemical Defense Program is working in cooperation with the Transportation Security Administration in developing and implementing a test and evaluation process that would allow independent testing to chemical detector specifications and support the Transit Security Grant Program. As part of the architecture design, the Chemical Defense Program is in the process of developing methods to identify requirements and planning responses activities in the event of a chemical attack.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.8 Special Service Pay	355	237	237	-
<b>Total, Salaries &amp; Benefits</b>	<b>355</b>	<b>237</b>	<b>237</b>	<b>-</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$52</b>	<b>\$89</b>	<b>\$51</b>	<b>-\$38</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 requested funding level reflects changes associated with field testing to evaluate the effectiveness and efficiency of the RDCDS system.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$332	\$232	\$32	-\$200

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 requested funding level reflects changes in commitment by OHA to engage industry experts in advisory and assistance services associated with field testing to evaluate the effectiveness and efficiency of the RDCDS system.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,378	\$5,242	\$180	-\$5,062

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 requested funding level reflects OHA's review of services to other government agencies, such as EPA and the national labs with which CDP partners.

**Department of Homeland Security**  
**Office of Health Affairs**  
**National Biosurveillance Integration Center**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.8 Special Service Pay	685	645	654	9
12.1 Benefits	6	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>691</b>	<b>645</b>	<b>654</b>	<b>9</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	23	60	60	-
23.2 Other rent	2	-	-	-
25.1 Advisory and assistance services	4,930	12,549	7,232	(5,317)
25.2 Other services	20	-	-	-
25.3 Purchases from Gov't accts.	27	54	54	-
<b>Total, Other Object Classes</b>	<b>5,002</b>	<b>12,663</b>	<b>7,346</b>	<b>(5,317)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(1,295)	-	1,295
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(1,295)</b>	<b>-</b>	<b>1,295</b>
<b>Total Requirements</b>	<b>5,693</b>	<b>12,013</b>	<b>8,000</b>	<b>(4,013)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**National Biosurveillance Integration Center Mission Statement**

The National Biosurveillance Integration Center (NBIC) provides early detection, characterization, and situational awareness of biological events of potential national significance. NBIC operates by acquiring, integrating, analyzing, and disseminating biosurveillance information from human, animal, plant and environmental data. NBIC collaborates with federal and state partners to collect, analyze, and share human, animal, plant, food, and environmental biosurveillance information from a myriad of monitoring systems. NBIC provides a Biosurveillance Common Operating Picture (BCOP) to senior decision-makers and partner agencies. The BCOP provides a consistent, integrated picture of biosurveillance situational awareness throughout the country.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.8 Special Service Pay	685	645	654	9
12.1 Benefits	6	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>691</b>	<b>645</b>	<b>654</b>	<b>9</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$4,930	\$12,549	\$7,232	-\$5,317

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 requested funding level reflects a change in commitment by OHA to revisit the NBIC focus and a review of costs associated with the University of North Carolina Biosurveillance pilot(NCB).

**Department of Homeland Security**  
**Office of Health Affairs**  
**BioWatch**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.8 Special Service Pay	855	1,247	1,100	(147)
<b>Total, Personnel and Compensation Benefits</b>	<b>855</b>	<b>1,247</b>	<b>1,100</b>	<b>(147)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	192	268	300	32
23.2 Other rent	6	-	-	-
25.1 Advisory and assistance services	34,655	51,147	61,800	10,653
25.2 Other services	25	-	-	-
25.3 Purchases from Gov't accts.	22,890	21,412	15,349	(6,063)
26.0 Supplies and materials	1,802	17,011	14,550	(2,461)
31.0 Equipment	40	10,000	4,245	(5,755)
41.0 Grants/Subsidies/Contributions	30,380	31,415	27,950	(3,465)
<b>Total, Other Object Classes</b>	<b>89,990</b>	<b>131,253</b>	<b>124,194</b>	<b>(7,059)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(18,336)	-	18,336
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(18,336)</b>	<b>-</b>	<b>18,336</b>
<b>Total Requirements</b>	<b>90,845</b>	<b>114,164</b>	<b>125,294</b>	<b>11,130</b>
<b>Full Time Equivalents</b>	-	-	-	-

**BioWatch Mission Statement**

The BioWatch Program promotes the DHS mission of detection of biological attacks by managing an early warning system designed to rapidly detect aerosolized biological threat agents that could be used in an intentional release causing harm to the population. This program deploys collection devices and analytical capability in more than thirty high-risk metropolitan areas throughout the nation. The BioWatch Program provides public health experts with a warning of a biological agent release before exposed individuals develop symptoms of illness. This “detect-to-treat” approach provides public health officials with an opportunity to respond aggressively to eliminate or substantially mitigate the potentially catastrophic impact on the population of a biological agent release.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.8 Special Service Pay	855	1,247	1,100	(147)
<b>Total, Salaries &amp; Benefits</b>	<b>855</b>	<b>1,247</b>	<b>1,100</b>	<b>(147)</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	\$192	\$268	\$300	\$32

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request funding level reflects a change in travel associated with Gen-2 operations as well as preparations for the Gen-3 autonomous detectors.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	\$34,655	\$51,147	\$61,800	\$10,653

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request funding level reflects a commitment by OHA to engage industry experts in advisory and assistance services associated with Developmental Test and Evaluation (DT&E); Operational Test and Evaluation (OT&E); Test and Evaluation Support; the BioWatch National Workshop; Jurisdictional Training; Laboratory Operation and Support; Quality Assurance Support; and Program Management.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	\$22,890	\$21,412	\$15,349	-\$6,063

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request funding level reflects changes to some Interagency agreements for: Assays; the development of Autonomous Detectors; Guidance; Site Modeling; Engineering/Data Analysis; Developmental Test and Evaluation (DT&E); Field Operation and Support; Public Health and Preparedness Support; Logistics Support; and Special Events Support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$1,802	\$17,011	\$14,550	-\$2,461

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 requested funding level reflects the purchases for supplies and materials associated with reagents and other supplies related to Lab and Logistics Support.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$40	\$10,000	\$4,245	-\$5,755

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 requested funding level reflects changes associated with the revised Gen-3 project schedule and associated Information Management Systems, Low Rate Initial Production (LRIP); Systems Integration Laboratory; and Engineering Data.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	\$30,380	\$31,415	\$27,950	-\$3,465

Grants/Subsidies/Contributions includes cash payments to States, other federal agencies, associations, individuals, commissions, proceedings, or projects. The FY 2013 requested funding level reflects changes associated with funding to jurisdictions through cooperative agreements for current operations and deployment and jurisdictional preparation for OT&E of autonomous detectors.



**Department of Homeland Security**  
**Office of Health Affairs**  
**Planning and Coordination**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.8 Special Service Pay	725	459	459	-
12.1 Benefits	17	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>742</b>	<b>459</b>	<b>459</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	165	345	345	-
23.2 Other rent	4	-	-	-
25.1 Advisory and assistance services	777	4,262	2,703	(1,559)
25.2 Other services	102	-	-	-
25.3 Purchases from Gov't accts.	1,831	1,827	1,400	(427)
<b>Total, Other Object Classes</b>	<b>2,879</b>	<b>6,434</b>	<b>4,448</b>	<b>(1,986)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(731)	-	731
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(731)</b>	<b>-</b>	<b>731</b>
<b>Total Requirements</b>	<b>3,621</b>	<b>6,162</b>	<b>4,907</b>	<b>(1,255)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Planning and Coordination Mission Statement**

Planning and Coordination is comprised of initiatives that primarily support QHSR Mission 5: Ensuring Resilience to Disasters. Major initiatives include: Planning and Exercise Support; Food, Agriculture, Veterinary Defense (FAVD); State and Local Coordination; and Workforce Health & Medical Support.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.8 Special Service Pay	725	459	459	-
12.1 Benefits	17	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>742</b>	<b>459</b>	<b>459</b>	<b>-</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$165</b>	<b>\$345</b>	<b>\$345</b>	<b>\$0</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 requested funding level reflects changes associated with the realignment of the Office of Component Services to the P&C PPA in FY2012, specifically as it relates to travel for personnel involved with stakeholder outreach, regional coordination associated with response and readiness, training exercises, and conference attendance.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$777	\$4,262	\$2,703	-\$1,559

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 requested funding levels support the realignment of BioWatch exercises into the P&C PPA from the FY12 enactment and also reflects a commitment by OHA to create economies of scale in its operations and for advisory and assistance services to support OHA's *DHSTogether* that informs leadership and employees on the resilience issues and initiatives and provide training specific to the prevention of employee suicide and risk identification.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,831	\$1,827	\$1,400	-\$427

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 requested funding level reflects changes associated with the realignment of the Office of Component Services to the P&C PPA in FY2012.

**Department of Homeland Security**  
**Office of Health Affairs**  
**Salaries and Expenses**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	8,402	11,615	12,100	485
11.3 Other than full-time permanent	461	-	-	-
11.5 Other personnel compensation	95	-	-	-
11.8 Special Service Pay	1,089	187	187	-
12.1 Benefits	2,350	2,602	2,702	100
<b>Total, Personnel and Compensation Benefits</b>	<b>12,397</b>	<b>14,404</b>	<b>14,989</b>	<b>585</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	298	185	34	(151)
23.1 GSA rent	3,330	3,330	3,074	(256)
23.2 Other rent	34	-	-	-
23.3 Communications, utilities, and misc. charges	98	-	-	-
25.1 Advisory and assistance services	5,896	399	405	6
25.2 Other services	217	-	-	-
25.3 Purchases from Gov't accts.	7,292	11,253	9,153	(2,100)
25.4 O&M of facilities	25	-	-	-
26.0 Supplies and materials	109	100	102	2
31.0 Equipment	200	-	-	-
41.0 Grants/Subsidies/Contributions	700	-	-	-
<b>Total, Other Object Classes</b>	<b>18,199</b>	<b>15,267</b>	<b>12,768</b>	<b>(2,499)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>30,596</b>	<b>29,671</b>	<b>27,757</b>	<b>(1,914)</b>
<b>Full Time Equivalents</b>	<b>76</b>	<b>99</b>	<b>101</b>	<b>2</b>

**Salaries and Expenses Mission Statement**

The Office of Health Affairs (OHA) serves as the Department of Homeland Security's principal authority for all medical and public health matters. OHA provides medical, public health, and scientific expertise in support of the DHS mission to prepare for, respond to, and recover from all threats. The Salaries and Expenses (S&E) PPA funds all FTEs within OHA. The S&E PPA also provides programmatic funding for the Office of International Affairs and Global Health Security, which oversees the Department's global health security initiatives, including the international aspects of pandemic influenza planning and international lessons learned from public health crises. In FY 2010 and 2011, the S&E PPA also provided programmatic funding for the Office of Component Services, which is responsible for establishing policy, standards, requirements and metrics for the Department's health and safety programs, and provides protective and operational medical oversight, credentialing, and medical quality management across DHS.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	8,402	11,615	12,100	485
11.3 Other than full-time permanent	461	-	-	-
11.5 Other personnel compensation	95	-	-	-
11.8 Special Service Pay	1,089	187	187	-
12.1 Benefits	2,350	2,602	2,702	100
<b>Total, Salaries &amp; Benefits</b>	<b>12,397</b>	<b>14,404</b>	<b>14,989</b>	<b>585</b>

Salaries and Benefits includes costs for 101 FTEs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$298</b>	<b>\$185</b>	<b>\$34</b>	<b>-\$151</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 requested funding level takes into account reductions for the Secretary's efficiency review.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$3,330</b>	<b>\$3,330</b>	<b>\$3,074</b>	<b>-\$256</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$5,896</b>	<b>\$399</b>	<b>\$405</b>	<b>\$6</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 requested funding level reflects a change in the estimates in Purchases from Government Accounts for the Working Capital Fund.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>\$7,292</b>	<b>\$11,253</b>	<b>\$9,153</b>	<b>-\$2,100</b>

The FY 2013 request funding level reflects changes to Interagency Agreements for contractual services for the purchase of goods and services.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$109</b>	<b>\$100</b>	<b>\$102</b>	<b>\$2</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (c) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request funding level takes into account reductions for the Secretary's efficiency review.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>75</b>	<b>76</b>	<b>99</b>
<b>Increases</b>			
Transfer from P&C PPA	-	-	2
DHSTogether	-	4	-
S&E	1	19	-
<b>Subtotal, Increases</b>	<b>1</b>	<b>23</b>	<b>2</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>76</b>	<b>99</b>	<b>101</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>1</b>	<b>23</b>	<b>2</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Salaries and Expenses	\$7,717	\$8,615	\$10,439	\$1,824
<b>Total Working Capital Fund</b>	<b>7,717</b>	<b>8,615</b>	<b>10,439</b>	<b>1,824</b>

**K. DHS Balanced Workforce Strategy**

N/A

**ia. Summary of FY Budget Estimates by Appropriation without Emergency Funding**

**Department of Homeland Security  
Federal Emergency Management Agency**  
Summary of FY 2013 Budget Estimates by Appropriation  
Total Appropriations  
(Dollars in Thousands)

Budget Activity	FY 2011		FY 2012		FY 2013		Increase (+) or Decrease (-) For FY 2013					
	Actual Obligations		Enacted Budget Authority		Requested Budget Authority		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT	FTE	AMOUNT
Salaries and Expenses	-	-	4,271	987,128	3,576	789,172	(695)	(197,956)	-	3,767	(695)	(201,723)
State and Local Programs	55	3,217,676	181	2,290,403	876	2,900,212	1,390	609,809	783	478,986	(88)	130,823
Disaster Assistance Direct Loan Program	-	1,000	-	295	-	-	-	(295)	-	(295)	-	-
Disaster Relief Fund	5,101	7,503,062	4,852	7,076,000	4,852	6,088,926	-	(987,074)	-	(11,139)	-	(975,935)
Emergency Food and Shelter	-	119,760	-	120,000	-	100,000	-	(20,000)	-	(20,000)	-	-
Flood Map Modernization Fund	50	204,131	80	97,712	80	89,329	-	(8,383)	-	(8,393)	-	10
National Flood Insurance Fund	311	1,784,029	307	3,324,000	307	3,551,000	-	227,000	-	277,000	-	-
Management and Administration	3,822	1,101,274	-	-	-	-	-	-	-	-	-	-
National Pre-Disaster Mitigation Fund	15	77,771	12	35,500	7	-	(5)	(35,500)	(5)	(35,503)	-	3
Radiological Emergency Preparedness	153	36,587	170	37,131	170	(1,443)	-	(38,574)	-	(38,743)	-	169
United States Fire Administration	108	45,083	148	44,038	159	42,520	11	(1,518)	-	-	11	(1,518)
<b>Enacted Appropriations and Budget Estimates</b>	<b>9,575</b>	<b>14,090,373</b>	<b>10,021</b>	<b>14,012,207</b>	<b>10,722</b>	<b>13,559,716</b>	<b>701</b>	<b>444,991</b>	<b>778</b>	<b>645,680</b>	<b>(772)</b>	<b>(644,725)</b>
Less: Adjustments for Other Funding Sources:												
National Flood Insurance Fund (mandatory)	39	1,608,433	27	3,153,000	27	3,380,000	-	227,000	-	277,000	-	-
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>9,536</b>	<b>12,481,940</b>	<b>9,994</b>	<b>10,859,207</b>	<b>10,695</b>	<b>10,179,716</b>	<b>701</b>	<b>217,991</b>	<b>778</b>	<b>368,680</b>	<b>(772)</b>	<b>(644,725)</b>



ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security  
Federal Emergency Management Agency**  
Homeland and Non-Homeland Allocation by Program/Projects Activity  
(Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Salaries and Expenses</b>	-	-	-	-	-	-	\$157,310	4,271	\$829,818	4,271	\$987,128	-	\$121,020	3,576	\$668,152	3,576	\$789,172	
Centrally Managed Accounts	-	-	-	-	-	-	-	-	107,273	-	107,273	-	-	-	94,180	-	94,180	
Recovery	-	-	-	-	-	-	-	581	78,373	581	78,373	-	-	398	55,423	398	55,423	
Preparedness and Protection	-	-	-	-	-	-	139,180	606	36,701	606	175,881	-	73,153	124	-	124	73,153	
Mission Support	-	-	-	-	-	-	-	1,040	219,433	1,040	219,433	-	-	815	152,806	815	152,806	
Administrative and Regional Offices	-	-	-	-	-	-	5,490	814	130,775	814	136,265	-	35,187	1,366	179,416	1,366	214,603	
Response	-	-	-	-	-	-	12,640	1,056	213,588	1,056	226,228	-	12,680	801	159,217	801	171,897	
Mitigation	-	-	-	-	-	-	-	174	43,675	174	43,675	-	-	72	27,110	72	27,110	
<b>State and Local Programs</b>	15	\$3,217,676	-	-	15	\$3,217,676	88	2,282,903	93	-	181	2,282,903	750	2,900,212	126	-	876	2,900,212
Emergency Management Performance Grants	15	339,004	-	-	15	339,004	15	350,000	-	-	15	350,000	-	350,000	-	-	-	350,000
Firefighter Assistance Grants	-	782,805	-	-	-	782,805	73	675,000	-	-	73	675,000	-	670,000	-	-	-	670,000
Management and Administration	-	-	-	-	-	-	-	-	-	-	-	-	750	279,304	126	-	876	279,304
National Preparedness Grants Program	-	-	-	-	-	-	-	-	-	-	-	-	-	1,540,908	-	-	-	1,540,908
Training Partnership Grant	-	-	-	-	-	-	-	-	-	-	-	-	-	60,000	-	-	-	60,000
Education, Training and Exercises	-	-	-	-	-	-	215,927	93	-	93	215,927	-	-	-	-	-	-	-
Metropolitan Statistical Area (MSA) Preparedness program	-	1,151,642	-	-	-	1,151,642	-	-	-	-	-	-	-	-	-	-	-	-
State and Local Programs (grants)	-	-	-	-	-	-	-	1,041,976	-	-	-	1,041,976	-	-	-	-	-	-
State and Regional Preparedness program	-	710,352	-	-	-	710,352	-	-	-	-	-	-	-	-	-	-	-	-
Training, Measurement and Exercise program	-	233,873	-	-	-	233,873	-	-	-	-	-	-	-	-	-	-	-	-
<b>Management and Administration</b>	-	-	3,822	\$1,101,274	3,822	\$1,101,274	-	-	-	-	-	-	-	-	-	-	-	-
Operating Activities	-	-	3,795	1,059,498	3,795	1,059,498	-	-	-	-	-	-	-	-	-	-	-	-
Office of National Capital Region Coordination	-	-	19	6,693	19	6,693	-	-	-	-	-	-	-	-	-	-	-	-
Urban Search and Rescue	-	-	8	35,083	8	35,083	-	-	-	-	-	-	-	-	-	-	-	-
<b>Flood Map Modernization Fund</b>	-	-	50	204,131	50	204,131	-	-	80	97,712	80	97,712	-	-	80	89,329	80	89,329
<b>Emergency Food and Shelter</b>	-	-	-	119,760	-	119,760	-	-	-	120,000	-	120,000	-	-	-	100,000	-	100,000
<b>U.S. Fire Administration</b>	-	-	108	45,083	108	45,083	-	-	148	44,038	148	44,038	-	-	159	42,520	159	42,520
United States Fire Administration	-	-	108	45,083	108	45,083	-	-	148	44,038	148	44,038	-	-	159	42,520	159	42,520
<b>Radiological Emergency Preparedness:</b>	-	-	153	36,587	153	36,587	-	-	170	37,131	170	37,131	-	-	170	-1,443	170	-1,443
Radiological emergency preparedness	-	-	153	36,587	153	36,587	-	-	170	37,131	170	37,131	-	-	170	-1,443	170	-1,443
<b>Disaster Relief Fund</b>	-	-	5,101	7,503,062	5,101	7,503,062	-	-	4,852	7,076,000	4,852	7,076,000	-	-	4,852	6,088,926	4,852	6,088,926
<b>Disaster Assistance Direct Loan Program</b>	-	-	-	1,000	-	1,000	-	-	-	295	-	295	-	-	-	-	-	-
Direct Loan Subsidy	-	-	-	1,000	-	1,000	-	-	-	295	-	295	-	-	-	-	-	-

<b>National Flood Insurance Fund</b>	-	-	311	1,784,029	311	1,784,029	-	-	318	3,324,000	318	3,324,000	-	-	307	3,551,000	307	3,551,000
National Flood Insurance Fund (Discretionary):	-	-	272	175,596	272	175,596	-	-	280	171,000	280	171,000	-	-	280	171,000	280	171,000
Flood Mitigation and Flood Insurance Operations	-	-	77	13,844	77	13,844	-	-	75	22,000	75	22,000	-	-	75	22,000	75	22,000
Floodplain Management and Flood Mapping	-	-	195	161,752	195	161,752	-	-	205	149,000	205	149,000	-	-	205	149,000	205	149,000
National flood insurance fund (mandatory):	-	-	39	1,608,433	39	1,608,433	-	-	38	3,153,000	38	3,153,000	-	-	27	3,380,000	27	3,380,000
National Flood Insurance Fund - Mandatory	-	-	-	1,351,627	-	1,351,627	-	-	-	3,043,000	-	3,043,000	-	-	-	3,260,000	-	3,260,000
Flood Related Grants	-	-	29	208,620	29	208,620	-	-	27	60,000	27	60,000	-	-	27	120,000	27	120,000
Repetitive Flood Claims Program	-	-	-	9,172	-	9,172	-	-	-	10,000	-	10,000	-	-	-	-	-	-
Flood Mitigation Assistance Program	-	-	10	39,014	10	39,014	-	-	11	40,000	11	40,000	-	-	-	-	-	-
<b>National Pre-Disaster Mitigation Fund</b>	-	-	15	77,771	15	77,771	-	-	12	35,500	12	35,500	-	-	7	-	-	7
<b>Total</b>	<b>15</b>	<b>3,217,676</b>	<b>9,560</b>	<b>10,872,697</b>	<b>9,575</b>	<b>14,090,373</b>	<b>88</b>	<b>2,440,213</b>	<b>9,944</b>	<b>11,564,494</b>	<b>10,032</b>	<b>14,004,707</b>	<b>750</b>	<b>3,021,232</b>	<b>9,277</b>	<b>10,538,484</b>	<b>10,027</b>	<b>13,559,716</b>

# **Department of Homeland Security**

*Federal Emergency Management Agency  
Salaries and Expenses*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Emergency Management Agency Salaries and Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement:**

The FEMA Salaries and Expenses (S&E) appropriation (formerly Management and Administration) provides core mission funding for the development and maintenance of an integrated, nationwide capability to prepare for, mitigate against, respond to, and recover from the consequences of major disasters and emergencies regardless of cause, in partnership with other Federal agencies, State, local, and tribal governments, volunteer organizations, and the private sector. The account supports core operations for all FEMA organizations, providing resources for mission activities and administrative support. S&E resources are directed to both headquarters and regional operations.

#### **B. Budget Activities:**

Activities are organized according to the following program/project/activity (PPA) structure:

- Administrative and Regional Offices (ARO)
- Preparedness and Protection
- Response
- Recovery
- Mitigation
- Mission Support
- Centrally Managed Accounts

In accordance with the Joint Explanatory Statement accompanying P.L 112-74, the above PPAs supersede the three PPAs used in the previous Management and Administration appropriation:

- Operating Activities – included in all seven of the new PPAs
- Urban Search and Rescue – included in the new Response PPA
- National Capital Region Coordination (NCRC) – included in the Administrative and Regional Offices PPA

#### **B.1 Administrative and Regional Offices**

ARO incorporates the essential command and control functions of the Agency. Administrative coordinates all policy, strategic planning, resources, managerial, and administrative actions to include the Federal Coordinating Officers, NCRC, and the Evaluations and Assessment Program. Regional Operations includes the leadership, management, and mission support functions of the 10 FEMA Regions. The Regions execute the operational direction received from headquarters to ensure that FEMA can execute its primary mission: preparedness, protection, response, recovery, and mitigation.

## **B.2 Preparedness and Protection**

*Preparedness.* The preparedness mission seeks to reduce the loss of life and property and protect the Nation by planning, training, exercising, and building the emergency management profession. As manager and coordinator of the preparedness cycle, FEMA provides assistance, support, and leadership to help Federal, State, tribal, and local governments and the private sector build the operational capabilities needed to implement preparedness strategies successfully.

*Protection.* The protection mission seeks to protect our Nation's constitutional form of government and ensures that a system is in place to warn our citizens of impending hazards. FEMA is responsible for supporting the enhancement of protection capabilities for all hazards, which in turn helps to integrate the tools and mechanisms for capability building across mission areas; streamlines the delivery of assistance to State, tribal, and local governments, as well as nongovernmental entities; and leverages existing intergovernmental coordination infrastructures. FEMA's primary continuity business lines and associated continuity activities include: Continuity Planning, Continuity Training and Exercises, and Continuity Operations.

## **B.3 Response**

The Response mission seeks to conduct emergency operations to save lives and property through positioning emergency equipment, personnel, and supplies; evacuating survivors; providing food, water, shelter, and medical care to those in need; and restoring critical public services. FEMA conducts response operations in partnership with State, tribal, and local governments; interagency Federal partners; nongovernmental organizations; and the private sector.

FEMA executes response operations through established incident management and incident support entities that capitalize on FEMA's nationwide organizational structure, occupying specific disaster facilities at the national headquarters level, in the affected Regional office, and in temporary field locations established near the scene of a disaster or emergency. FEMA's response operations include logistics, search and rescue, disaster emergency communications, and planning.

## **B.4 Recovery**

The Recovery mission seeks to support communities in rebuilding so that individuals, civic institutions, businesses, and governmental organizations can function on their own, return to normal life, and protect against future hazards.

FEMA's recovery mission is accomplished through a combination of programs and functions that provide direct and indirect support. These include the Stafford Act Declaration process, recovery planning, and programs specifically designed to assist both individuals and local governments that have been affected by disasters.

## **B.5 Mitigation**

The mitigation mission seeks to reduce or eliminate long-term risks to people and property from hazards and their effects. Mitigation benefits society by creating safer communities, enabling people

to recover more rapidly from floods and other disasters, and reducing the financial impact on Federal, State, tribal, and local governments and communities. FEMA's mitigation mission is accomplished through the following basic mitigation business lines: Risk Analysis, Risk Reduction, and Risk Insurance.

### **B.6 Mission Support**

Mission Support provides the corporate support, tools, and resources that the agency needs to build, sustain, and improve its primary mission of preparedness, protection, response, recovery, and mitigation. Functions include information technology, human capital management, acquisition management, security, and administration which include facilities management, records management, and occupational health and safety.

### **B.7 Centrally Managed Accounts**

Centrally managed accounts are critical bills that must be managed at the enterprise level to ensure efficient and effective cost management, which includes streamlining cost factors and prompt payment. The authority and responsibility for the individual accounts are assigned by the FEMA Office of the Chief Financial Officer (OCFO) to the individual functional proponents.

*Section III: Current Services Program Description by PPA* provides additional details on the functions by operational element.

### **C. Budget Request Summary:**

The FY 2013 Budget request of \$789.172 million reflects FEMA's priority to manage resources more effectively. FEMA remains committed to supporting the Department of Homeland Security's (DHS) strategic priorities while prioritizing requirements throughout the Department. Our focus has been to maintain and strengthen the Agency's ability to respond to disasters while reducing costs and improving the efficiency of our operations. FEMA's swift and effective response to the tornadoes, floods, earthquakes, and hurricanes of 2011 demonstrates the impact of internal capacity that FEMA has developed in recent years, which will be maintained at the requested level.

### **FEMA Responds to Hurricane Irene.**

In late August 2011, Hurricane Irene made landfall in Puerto Rico (August 22<sup>nd</sup>) and then made her way to the Atlantic Coast where she made landfall over Eastern North Carolina's Outer Banks (August 27<sup>th</sup>). She then proceeded up the Atlantic coastline causing havoc from North Carolina to Vermont before dissipating on August 29<sup>th</sup>.

Situational Awareness -- FEMA and its Federal partners, through FEMA's National Response Coordination Center (NRCC) and its Regional Response Coordination Centers (RRCC) in Region I (Boston), Region II (New York), Region III (Philadelphia), and Region IV (Atlanta) monitored the storm and stayed in close contact with their respective State emergency management agencies ensuring that they had the Federal support that they needed.

Response Teams – Prior to Hurricane Irene making landfall in Puerto Rico, the Hurricane Liaison Team quickly flew to Miami and set up inside the National Oceanic and Atmospheric Administration’s (NOAA) National Hurricane Center. FEMA deployed a total of 18 Incident Management Assistance Teams (IMATs) to coordinate with State, tribal, and local officials to identify needs and shortfalls affecting potential disaster response and recovery activities. Six National Urban Search and Rescue (US&R) teams, comprised of more than 500 personnel, were activated. Mobile Emergency Response System (MERS) assets were located strategically along the entire East Coast to support emergency response communications needs. For example, when the State of Vermont’s emergency operations center was made inoperable due to flooding, FEMA provided work space, equipment, and communications support to ensure the continued operation of Vermont’s State response.

Logistics Management – Logistics personnel established Incident Support Bases at Fort Bragg, North Carolina; Westover Army Reserve Base in Massachusetts; and Fort Dix, New Jersey, to support Federal response operations and to proactively stage essential commodities (i.e., generators, meals, water, cots, blankets, infant & toddler kits, and durable medical supplies), which allowed FEMA to quickly move needed supplies through the affected States.

Community Relations – Hundreds of community relations specialists were deployed to the affected States, meeting with disaster survivors and explaining the Federal services and resources that were available. The services and resources included: the registration process; mass care and emergency assistance; voluntary agencies; Individual & Household Programs; and the location, services, and hours of the Disaster Recovery Centers (DRCs). DRCs are locations where disaster survivors can meet one-on-one with representatives from State, local, Federal, and voluntary agencies to learn about disaster assistance programs that can help them start rebuilding and recouping their losses. For Hurricane Irene, DRCs were opened in New York, New Jersey, Connecticut, Vermont, and Puerto Rico, and as of December 2011, more than \$488 million in disaster assistance had been approved.

### **Preparedness Increases Community Resilience in Responding to the 2011 Spring Tornadoes.**

FEMA provides State and local governments with preparedness grant dollars to enhance their capabilities and to build community resilience. The success of these grant programs has been experienced and can be seen in a variety of events across the country, including the responses in Joplin, Missouri, and Tuscaloosa, Alabama.

The tornado that ravaged Joplin, Missouri, on May 22, 2011, was met by local response and recovery teams, reducing reliance on Federal recovery teams and FEMA’s Disaster Relief Fund.

More than 11 million emergency management personnel across the Nation have benefitted from training and exercise programs.

### **Whole Community**

FEMA is committed to increasing individual preparedness and engaging with members of the community as vital partners in enhancing the resiliency and security of our Nation through a “Whole



Community” approach. As a concept, Whole Community is a means by which residents, emergency management practitioners, organizational and community leaders, and government officials collectively can understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their assets, capacities, and interests. By doing so, a more effective path to societal security and resilience is built.

The FY 2013 Budget reflects FEMA’s commitment to helping mature and strengthen the homeland security enterprise in this challenging fiscal environment while maintaining the Agency’s ability to fulfill its emergency management mandate.

*Proposed funding levels for specific PPAs are as follows:*

**Salaries and Expenses (S&E):** FEMA requests \$789.172 million, 3,771 positions, and 3,576 FTE. This represents a net decrease of \$197,956 million, and a decrease of 726 positions, and 695 FTE as compared to FY 2012 Enacted (P.L 112-74), with directed transfers.

*For FY 2013, 726 positions and 681 FTE will be funded with transfer from the State and Local Programs appropriation.*

The change from FY 2012 is explained by a series of adjustments as described below.

**(1) PPA – Administrative and Regional Offices:** FEMA requests \$214.603 million, 1,458 positions, and 1,366 FTE. This represents a net increase of \$78.338 million, an increase of 601 positions, and 552 FTE as compared to FY 2012.

**(2) PPA – Preparedness and Protection:** FEMA requests \$73.153 million, 128 positions, and 124 FTE. This represents a net decrease of \$102.728 million, and a decrease of 510 positions and 482 FTE as compared to FY 2012.

**(3) PPA – Response:** FEMA requests \$171.897 million, 832 positions, and 801 FTE. This represents a net decrease of \$54.331 million, a decrease of 280 positions, and 255 FTE as compared to FY 2012.

**(4) PPA – Recovery:** FEMA requests \$55.423 million, 420 positions, and 398 FTE. This represents a net decrease of \$22.95 million, a decrease of 192 positions, and 183 FTE as compared to FY 2012.

**(5) PPA – Mitigation:** FEMA requests \$27.110 million, 76 positions, and 72 FTE. This represents a net decrease of \$16.565 million, a decrease of 107 positions, and 102 FTE as compared to FY 2012.

**(6) PPA – Mission Support:** FEMA requests \$152.806 million, 857 positions, and 815 FTE. This represents a net decrease of \$66.627 million, a decrease of 238 positions, and 225 FTE as compared to FY 2012.

**(7) PPA – Centrally Managed Accounts:** FEMA requests \$94.180 million, 0 positions, and 0 FTE. This represents a net decrease of \$13.093 million, and no change to positions and FTE as compared to FY 2012.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security  
Federal Emergency Management Agency**  
Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program /Project /Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Centrally Managed Accounts	-	-	-	-	-	107,273	-	-	94,180	-	-	(13,093)	-	-	-	-	-	(13,093)
Recovery	-	-	-	612	581	78,373	420	398	55,423	(192)	(183)	(22,950)	-	-	-	(192)	(183)	(22,950)
Preparedness and Protection	-	-	-	638	606	175,881	128	124	73,153	(510)	(482)	(102,728)	-	-	10,000	(510)	(482)	(112,728)
Mission Support	-	-	-	1,095	1,040	219,433	857	815	152,806	(238)	(225)	(66,627)	-	-	-	(238)	(225)	(66,627)
Administrative and Regional Offices	-	-	-	857	814	136,265	1,458	1,366	214,603	601	552	78,338	-	-	-	601	552	78,338
Response	-	-	-	1,112	1,056	226,228	832	801	171,897	(280)	(255)	(54,331)	-	-	(6,233)	(280)	(255)	(48,098)
Mitigation	-	-	-	183	174	43,675	76	72	27,110	(107)	(102)	(16,565)	-	-	-	(107)	(102)	(16,565)
<b>Total, SE</b>	-	-	-	<b>4,497</b>	<b>4,271</b>	<b>987,128</b>	<b>3,771</b>	<b>3,576</b>	<b>789,172</b>	<b>(726)</b>	<b>(695)</b>	<b>(197,956)</b>	-	-	<b>3,767</b>	<b>(726)</b>	<b>(695)</b>	<b>(201,723)</b>
Subtotal, Enacted Appropriations and Budget Estimates	-	-	-	4,497	4,271	987,128	3,771	3,576	789,172	(726)	(695)	(197,956)	-	-	3,767	(726)	(695)	(201,723)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	-	<b>4,497</b>	<b>4,271</b>	<b>987,128</b>	<b>3,771</b>	<b>3,576</b>	<b>789,172</b>	<b>(726)</b>	<b>(695)</b>	<b>(197,956)</b>	-	-	<b>3,767</b>	<b>(726)</b>	<b>(695)</b>	<b>(201,723)</b>

<sup>1</sup>The amount reflected in FY 2012 includes P.L. 112-74-directed transfer of \$91,788 from State and Local Programs.

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration**  
Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program/Project /Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Operating Activities	4,182	3,795	1,059,498	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Office of National Capital Region Coordination	21	19	6,693	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Urban Search and Rescue	8	8	35,083	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total, Management and Administration</b>	<b>4,211</b>	<b>3,822</b>	<b>1,101,274</b>	-	-	-	-	3,822	-	-	-	-	-	-	-	-	-	-
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>4,211</b>	<b>3,822</b>	<b>1,101,274</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>4,211</b>	<b>3,822</b>	<b>1,101,274</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
Administrative and Regional Offices  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Administrative and Regional Offices**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	601	552	78,338
<b>2013 Current Services</b>	<b>1,458</b>	<b>1,366</b>	<b>214,603</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,458</b>	<b>1,366</b>	<b>214,603</b>
Total Change 2012 to 2013	1,458	1,366	214,603

FEMA requests \$214.603 million, 1,458 positions, and 1,376 FTE for Administrative and Regional Offices.

- Increase of \$100.54 million, 817 positions, and 765 FTE transferred from the Response, Recovery, Mitigation, and Mission Support PPAs for disaster efforts conducted in the Regions by the Regional Administrators
- Increase of \$0.475 million for pay inflation
- Decrease of \$10.0 million, 17 positions, and 17 FTE for Evaluations and Assessment in FY 2012 Enacted to be funded through transfer from the State and Local Programs appropriation in FY 2013
- Decrease of \$12.277 million, 199 positions, and 182 FTE for preparedness and protection efforts conducted in regions by Regional Administrators, funded in the FY 2012 Enacted base, to be funded through transfer from the State and Local Programs appropriation in FY 2013
- Decrease of \$400 thousand for management efficiencies in National Capital Region Coordination

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Administrative and Regional Operations incorporates the essential command and control functions of the Agency. The following activities directly support FEMA’s mission to support our citizens and first responders to ensure that as a Nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

## 1) **Office of the Administrator:**

The Administrator and the Deputy Administrator have the ultimate responsibility for providing leadership and direction that enables FEMA to accomplish the Agency's mission: to support our citizens and first responders to ensure that as a Nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

Collaborating with State, local governments and other emergency providers to build a national system of emergency management, the Administrator integrates the Agency's emergency preparedness, protection, response, recovery, and mitigation responsibilities to confront the challenges of a natural disaster, act of terrorism or other manmade disaster. The Administrator coordinates the implementation of a risk-based, all-hazards strategy that assists the President in carrying out functions of the Stafford Act.

As the principal advisor to the President, Homeland Security Council, and the Secretary of the Department of Homeland Security (DHS) for all matters relating to emergency management in the United States, the Administrator provides advice on request to any of these entities.

The **Office of Senior Law Enforcement Advisor** enhances communication and coordination between FEMA and State, local, and tribal law enforcement. The Law Enforcement Advisor is an integral part of FEMA's senior leadership team – participating in planning meetings and consequence management during a crisis.

The **DHS Center for Faith-Based and Neighborhood Partnerships** (DHS Center) builds, sustains, and improves effective partnerships between government sectors and faith-based and community organizations. Located within FEMA, DHS Center attends to faith-based and community organization engagements and partnerships across DHS.

The **National Advisory Council (NAC)** advises the Administrator on all aspects of emergency management. The NAC incorporates State, local, and tribal government and private sector input in the development and revision of the national preparedness goal, the national preparedness system, the National Incident Management System (NIMS), the National Response Plan, and other related plans and strategies.

The members of the NAC are appointed by the Administrator, and, to the extent practicable, represent a geographic (including urban and rural) and substantive cross-section of officials, emergency managers, and emergency response providers from State, local, and tribal governments, the private sector, and nongovernmental organizations.

The **Office of the Executive Secretariat (OES)** serves as the primary point of contact for FEMA's Office of the Administrator for coordinating departmental tasking, briefing material, and official correspondence. The OES is the central coordination point within FEMA responsible for ensuring proper and expeditious action on all tasks and correspondence addressed to and from FEMA.

### *A. Office of External Affairs*

The mission of the Office of External Affairs (OEA) is to engage, inform, and educate all of FEMA's stakeholders in support of the agency's programs and initiatives to achieve its mission. OEA accomplishes its mission by coordinating and maintaining visibility of public and internal communications; advising FEMA program and support offices on decision-making regarding policies,

plans, and actions that affect stakeholder, media, and congressional audiences; and organizing outreach efforts targeted at principal stakeholders to include local, State, and tribal governments, the private sector, foreign partners, and the American public.

OEA accomplishes critical aspects of FEMA's overall strategic goals by implementing the "Whole Community" concept and striving to improve communications—along with the sharing of best practices—among all emergency management personnel. OEA also delivers the expertise necessary to effectively lead public disaster communications in a unified manner and executes a targeted national public readiness initiative to build and sustain preparedness through the Ready Campaign.

OEA provides operational services to FEMA's mission for Intergovernmental Affairs, International Affairs, Legislative Affairs, Private Sector Initiatives, Public Affairs, and the Ready Campaign.

**Intergovernmental Affairs (IGA)** serves as FEMA's primary national-level liaison for State, Local, Tribal, and Territorial officials and governments and the associations that represent their interests. The division forges trusting relationships with stakeholder groups at every level in order to facilitate open and effective communication about the needs and capabilities of the communities FEMA is charged with serving. IGA identifies issues, answers questions, and offers solutions to its intergovernmental partners, and also facilitates partner participation in the FEMA policy development process. IGA works in tandem with the other elements of OEA to ensure that accurate, relevant, and clear information reaches community and elected leaders affected by disaster so that they can adequately inform constituents about Federal programs, knowledge and services. IGA's efforts speed the flow of disaster aid to victims by effectively involving local players in the response process. IGA provides State legislators with information that can help them enact appropriate disaster legislation that interacts cohesively with Federal programs and laws.

The **International Affairs Division (IAD)** is the hub for FEMA's engagement with the international emergency management community. IAD engages with foreign emergency management partners and multilateral organizations under the authority of existing U.S. treaties, agreements, and presidential directives. IAD facilitates information exchanges regarding technical assistance and other subject matter expertise among international emergency management stakeholders to strengthen our Nation's global capacity to respond to disasters. IAD also manages FEMA's involvement in the interagency civil emergency planning effort through the North Atlantic Treaty Organization. The division supports FEMA employees traveling internationally on official business, facilitates participation in international training and exercises, coordinates 300 to 400 foreign visit requests each year, and supports DHS in international policy work related to emergency management.

IAD's programs and activities expand FEMA's body of knowledge on emergency management best practices through the exchange of information with international partners; for example, FEMA can improve its ability to handle man-made disasters by benefiting from the expertise of a country more familiar with suicide bombing attacks. The division also advises the FEMA Administrator and DHS leadership on international emergency management cooperation and strategic priorities in this field. Further, IAD acts as FEMA's main point of contact for international organizations, embassies, and consulates.

The **Public Affairs Division (PAD)** coordinates FEMA's public message with the goal of providing information to the American public that helps them prepare for, respond to, recover from, and mitigate disasters in their area, and also serves as the primary point of contact with the media. The division provides consistent, clear communications to both internal and external audiences about

FEMA's activities, responsibilities, policies, and initiatives. Public Affairs coordinates with other Federal agencies and internal FEMA program offices to develop and execute communications strategies including: the dissemination of current policy information; the tracking and management of media contacts; and the support and maintenance of FEMA's Web and social media strategies. PAD's programs and activities provide disaster survivors with timely, accurate information and also facilitate the maintaining of effective, ongoing relationships with the media in order to promote FEMA's programs and goals.

The **Legislative Affairs Division (LAD)** serves as FEMA's primary liaison to the United States Senate and House of Representatives on emergency management issues. The division works with U.S. Congressional Authorization and Appropriations committees, Members of Congress, and their professional office staff to accomplish this goal effectively. LAD responds to congressional inquiries related to all topics ranging from government-wide policies to individual constituent casework and also provides critical updates, reports, and analysis regarding the Agency's operations, programs, and policies. LAD is responsible for notifying Congress about future agency initiatives, policies, and programs; coordinating the development of congressional hearing testimony and briefings by FEMA senior officials; and developing and implementing strategies to advance FEMA's legislative initiatives and other interests that relate to Congress.

The **Private Sector Initiatives Division (PSD)** is FEMA's primary non-acquisition point of coordination and dialogue between the Agency and the Nation's tens of millions of large and small businesses, trade associations, universities, think tanks, and their extended network of members and employees. The PSD is a driver of positive change within the agency, delivering new, innovative ways to engage this national network of resources and individuals in emergency management at every level. The division researches and documents private sector best practices that contribute to the emergency management mission; advises senior leadership on ways to improve emergency response efforts through private sector involvement and engaging private sector stakeholders in more meaningful ways in everything from policy development to exercises and planning; and leverages extensive national networks to get critical information directly into the hands of people who need it.

By incorporating the private sector into emergency management through the division's programs and initiatives, FEMA accomplishes one of its core objectives of building a "Whole Community" concept and strengthens communities' abilities to respond to disaster at the local level. The division's work is high-impact and high-profile, helping to speed delivery of aid in disasters through nontraditional means of outreach and providing new tools, resources, and methods of stakeholder engagement.

The **Ready Campaign** develops and executes a national public service advertising campaign designed to educate and empower the American people to prepare for and respond to disasters affecting their families and communities. Launched in 2003, the Ready Campaign involves the public in emergency management efforts by increasing awareness regarding potential hazards, providing knowledge and tools to facilitate preparedness and response capabilities locally, and helping disaster survivors become a resource in the "Whole Community" approach to emergency management. The Ready Campaign also works closely with the Citizen Corps program, which is the local-level effort to increase the preparedness of the American public and businesses.

The Ready Campaign is more than just awareness, it is about actions individuals can take to resist, recover from or better adapt to adversity created by disruptions, emergencies or disasters. Additionally, the campaign is a resource for the emergency management community to educate neighbors and friends on how they can provide aid to one another in the first phase of a response.

## ***B. Office of Policy and Program Analysis***

The Office of Policy and Program Analysis (OPPA) fosters strategic coherence across FEMA by leading and coordinating the development and implementation of Agency policy, strategy, program analysis and evaluation, and FEMA's use of the Defense Production Act authorities.

**Policy Division** leads and coordinates development of policies that support effective and efficient delivery of Agency programs across the full spectrum of preparedness and emergency management, and to represent agency interests in departmental, national, and international policymaking. This office also supports FEMA leadership in the identification, development, and implementation of the Agency's policy priorities and represents FEMA on DHS-policy matters. In addition to these efforts, the Policy Division develops, oversees, and coordinates the Agency's policy process, including chairing the FEMA Policy Working Group, and coordinates, tracks, and analyzes Agency responses to General Accountability Office and Office of Inspector General reports and recommendations.

**Defense Production Act Division (DPA)** provides guidance and support to DHS and other Federal agencies to develop plans and programs to expedite and expand the supply of critical resources from the private sector for homeland security, emergency preparedness, response, and recovery activities, and critical infrastructure protection and restoration. The DPA Program is responsible for implementing FEMA's DPA functions enabling OPPA to provide guidance and support for use of DPA authorities by FEMA and other DHS components; advises the National Security Council on issues of national security resource preparedness and on the use of DPA authorities; and provides for the central coordination of DPA plans and programs by Federal departments and agencies.

**Program Analysis & Evaluation Division (PA&E)** gives FEMA an independent analysis and evaluation capability that enhances decision-making, program performance transparency, and accountability. PA&E conducts program analyses, which include analyses and evaluations of alternative plans, programs, components, personnel levels, and budget submissions; and the formulation of the Future Years Homeland Security Program. PA&E also helps develop strategic requirements and capabilities to include: establishing a common strategic requirements development system for all of FEMA; assessing current operations capabilities; and validating and prioritizing organizational capabilities to determine risks and gaps for FEMA senior leadership.

**Strategic Planning & Analysis Division (SP&A)** helps FEMA to make innovative and informed decisions on the Agency's short-term strategic direction and to identify future drivers or requirements affecting emergency management operations in the future. This is accomplished by leading the development and implementation of FEMA's strategic planning process, to include development of FEMA's 3-5 year Strategic Plan and long-term driver and trend analysis in support of the Strategic Foresight Initiative, which will proactively monitor changing drivers and trends in emergency management in 15 years. SP&A also establishes and maintains an enterprise-wide risk framework to aid the Agency's planning, programming, and decision making efforts and ensure linkage to the DHS integrated risk management efforts. These efforts, along with providing guidance to help the Agency make innovative and informed decisions about FEMA's long-term direction and facilitating integrated strategic thinking, planning, and decision-making, enables FEMA to be in a better position to conduct its overall mission and determine future requirements.



### *C. Office of Equal Rights*

The Office of Equal Rights (OER) serves the Agency and the Nation by promoting affirmative employment, a discrimination-free workplace, and equal access to FEMA programs and benefits. OER proactively pursues a workforce that reflects the Nation's labor force for its employees, and a workplace climate that fully embraces the core values of accountability, compassion, diversity, integrity, partnership, respect, and trust. OER performs its mission by providing expert guidance and proactive support to all its customers, including State and local government officials, and the American people. The overarching goals of the office are to bring the fullest human value to the work of the Agency and to fulfill the office responsibilities under the Federal law. The office is organized into three sections: Civil Rights – manages the Federally Assisted and Federal Conducted Programs; Informal Equal Employment Opportunity (EEO) Programs – manages EEO counseling, dispute resolution, and training; and, formal EEO Programs – manages formal EEO complaint processing and investigations. OER encompasses the following activities and elements:

**Federally Assisted and Federally Conducted Programs and Investigations** entitles any person eligible to receive disaster aid or other services from FEMA to receive those benefits without discrimination. The Civil Rights Program provides Technical Assistance and Complaints Resolution services. Technical assistance is provided through policy guidance to the agency in meeting Civil Rights mandates. In disaster operations, the staff works closely with community organizations to resolve tensions and eliminate potential complaints. The office also provides assistance to FEMA and the national emergency management community in the effort to make publications, programs, and facilities accessible to people with disabilities. Complaints resolution is attempted for anyone who believes they have been discriminated against in the receipt of services or benefits from FEMA.

**EEO Program** enforces all Federal discrimination laws that cover all FEMA personnel, including Disaster Assistance Employees (DAE) and applicants for employment. Through the EEO program, OER provides a variety of services: including equal rights training for managers, supervisors, and employees; developing and maintaining an informal and formal EEO discrimination complaint process; investigating formal complaints of discrimination, increasing resolution of complaints through Alternative Dispute Resolution (ADR); and proactively recruiting employees and Special Emphasis programs.

### *D. Office of the Chief Counsel*

The Office of the Chief Counsel (OCC) supports FEMA's efforts to reduce loss of life and property and protect the Nation from all hazards by providing the Agency with high-quality legal advice, counsel, risk analysis, and dispute resolution services through a knowledgeable, accessible, responsive, and solution-oriented network of innovative and ethical legal professionals. The OCC is comprised of the following eight divisions.

**Response and Recovery Legal Division** is responsible for providing legal advice to the Response and Recovery Directorate. The Response Branch also manages Cadre of On-call Response/Recovery Employees (CORE) and DAE field counsel cadres that deploy to disasters across the country; and the Recovery Branch manages legal teams at the Louisiana and Mississippi recovery offices.

**Mission Support Legal Division** provides legal services related to acquisition and contracting, ethics, equal employment opportunity, fiscal policy and procedures, human capital, information and privacy, property, records management, technology use, and tort claims, primarily to activities of the Mission Support Bureau, OCFO, OER, and the FEMA Law Enforcement Advisor.

**Federal Insurance and Mitigation Legal Division** provides legal services related to the National Flood Insurance Program (NFIP), Flood Map Modernization, Mitigation grant programs, National Dam Safety Program, National Earthquake Hazards Reduction Program, the Office of Environmental Planning and Historic Preservation, and for other programs and activities administered by the Federal Insurance Mitigation Administration (FIMA).

**Protection and National Preparedness (PNP) Legal Division** provides legal services related to the PNP Directorate in coordinating preparedness and protection-related activities throughout the Agency. Legal counsel includes, but is not limited to, issues involving grants; planning; training; exercises; individual and community preparedness; assessments; lessons learned; and continuity and national capital region coordination. This Division also provides legal advice to the United States Fire Administration (USFA).

**Regulatory Affairs Legal Division** provides legal advice and counsel on matters relating to regulations.

**Chief of Staff for Legal Policy Legal Division (CSLP)** provides oversight, visibility, and legal policy integration across OCC functional divisions to ensure consistency and consideration of cross-program or Agency-wide implications. The CSLP also provides professional direction and legal oversight for OCC's Regional Counsel who advise the Regional Administrators in properly carrying out their missions and functions. The CSLP also supports the OEA, the Office of Disability Integration and Coordination, the Center for Faith-Based and Community Initiatives, OPPA, the Government Accountability Office and Office of Inspector General Liaison Office, and the National Advisory Council Designated Federal Official.

**Professional Development Division** is responsible for managing a professional development program for the OCC staff that includes workforce readiness through training, credentialing, and developing professional capabilities and resources aligned with OCC's operational goals at the Field, Regional, and National levels.

**Alternative Dispute Resolution Division** provides ADR services for FEMA under the Administrative Dispute Resolution Act of 1996. The ADR Office offers a wide range of dispute resolution processes and tools to engage Agency personnel in preventing and managing conflicts. The ADR Office customizes various ADR techniques and tools to deepen the conflict management, strategic decision-making, and collaborative problem solving skills of Agency personnel.

#### ***E. The Office of the Chief Financial Officer***

OCFO provides funds control, financial information, financial operations, and financial policy support to FEMA's management and oversight organizations. The Chief Financial Officer (CFO) is the principal advisor to the Administrator, Deputy Administrator, and other Agency leadership on matters relating to FEMA's financial resources. OCFO is comprised of three line-operating divisions: the Financial Management Division, the Budget Planning and Analysis Division, and the Financial Systems and Management Reporting Division. The operating divisions are supported by three staff functions: Risk Management and Compliance, Financial Policy, and Field-Based Financial Operations.

**Financial Management Division** performs all accounting services for 94 FEMA appropriations accounts. It reconciles accounts and ensures accuracy of trial balances for the preparation of financial statements and accompanying footnotes. It also manages debt collection activities. Division personnel perform the invoice approval and payment processes for all mission assignments, reimbursable activities, and other intergovernmental payments. They ensure timely and accurate recording of grant obligations and process final closeouts in the financial system, as well as coordinate with internal and external entities to ensure compliance with DHS/FEMA policies, and legislation and directives related to financial controls.

**Budget Planning and Analysis Division** performs an ongoing role in the planning, formulation, justification, analysis, and execution of FEMA's operating, mitigation, and disaster budgets. The Budget Division has the primary responsibility for making recommendations to the Administrator and presenting FEMA's portion of the President's Budget to the Department, the Office of Management and Budget (OMB), and Congress. The Budget Division monitors the Agency's execution activities for conformance with executive and legislative intent and provides program management and oversight of current year and prior year funding.

**Financial Systems and Management Reporting Division** provides technical support to implement and maintain the OCFO financial management systems/interfaces. The staff also furnishes accurate, relevant, and timely financial information to clients across the Agency, the Department, and Congress.

**Risk Management and Compliance Unit** is responsible for developing and implementing the Agency's internal controls program. Working in conjunction with the DHS financial management staff, the FEMA Risk Management and Compliance unit manages the annual audit of financial Statements, coordinates testing and corrective actions to improve improper payments, and coordinates the review of internal controls as required by OMB Circular A-123.

**Financial Policy Unit** develops Agency-wide policies, procedures, and standards for all financial management functions and promulgates these and related government-wide financial management requirements throughout the Agency. This unit is also responsible managing and addressing specific questions related to FEMA travel policy.

**Field-Based Financial Operations Unit** is responsible for managing and directing FEMA's field-based financial management activities including budget formulation and execution, finance and accounting operations, and risk management. This unit provides management and oversight to the field-based financial staff, including Recovery Office financial directors, Joint Field Office financial leads, and OCFO comptrollers. This team is responsible for formulating and executing operating budgets for open disasters, working closely with program management to determine multi-year financial requirements for public assistance, individual assistance, and hazard mitigation projects for open disasters.

## **2) Regional Operations**

The Regional Operations mission cuts across all FEMA missions and disciplines. Regional Operations includes the leadership, management and mission support functions and staff of the 10 FEMA Regions, and a small headquarters coordination and liaison office. The Regions execute the operational direction received from headquarters to ensure that FEMA can build, sustain, and improve capability to prepare for, protect against, respond to, recover from, and mitigate against all hazards.

The **Office of Regional Operations** at Headquarters is located within the Office of the Administrator and serves as the Agency's office to facilitate coordination of policy, managerial, resource and administrative actions between headquarters and the Regional Offices. The Office of Regional Operations also works to help ensure that FEMA policies, programs, administrative and management guidance are implemented in the Regions in a manner consistent with the Agency's overall goals.

The principal functions of the office are: (a) serving as liaison among the Regional Administrators and headquarters leadership to ensure successful collaboration as one team; (b) advising headquarters leadership on matters affecting or impacting the Regions; and (c) providing guidance to Regional Administrators on policy, programs, operations, and administrative matters.

### **Regional Administration**

Each Regional Office – led by a Regional Administrator – reports to the FEMA Administrator and is an operational component that closely resembles the structure and scope of the Agency. The Regional Offices support the development of a Regional, all-hazards, risk-based emergency management system of preparedness, prevention, protection, response, recovery, and mitigation through close working relationships with Federal agencies, States, tribal nations, localities, business and industry, and State and local volunteer organizations.

The Region is the principal conduit for:

- Coordinating and managing Federal support to respond and recover from disasters and emergencies
- Impact assessments and recommendations for the issuance of disaster or emergency declarations under the Stafford Act
- Administration of cooperative agreements, grants, and other financial assistance
- Providing technical assistance regarding emergency and disaster prevention, protection, planning, preparedness, mitigation, response, recovery, and continuity programs
- Promoting and managing risk analysis and risk reduction initiatives to mitigate damages and loss
- Managing preparedness efforts through planning, training, exercises, assessments, and corrective actions
- Intra-regional coordination among Federal agencies, State, Tribal, territory, and local governments, voluntary and private organizations, advisory councils and working groups, local communities, and the public

### **Regional Empowerment**

'Regional Empowerment' is an overarching principle within the current Administrator's Intent in pursuit of the Regional offices having the responsibility, authority, and resources required to enable them to implement FEMA's programs pursuant to the guidance, policy, doctrine, and standards established by Headquarters offices.

### **3) Office of Federal Coordinating Officer (FCO) Operations**

The mission of the Office of FCO Operations is to lead, train, equip, and manage FEMA's FCOs to ensure their availability for rapid deployment in response to any disaster; deliver training to develop and sustain FCO professional competencies; and coordinate FCO assignments to meet the on-scene needs of FEMA and its emergency management partners.

Members of the FCO cadre provide leadership during disaster declarations, regional level exercises, certification and qualification exercises, and during annual national-level exercises. They also serve as subject matter experts and instructors in support of National Preparedness goals. While the support to the FCO cadre is funded in the S&E appropriation, FCO salaries and benefits and other expenses, when deployed in response to a presidentially declared disaster, are funded primarily in the DRF.

### **4) Office of National Capital Region Coordination**

NCRC enhances preparedness and promotes resiliency by enabling better communication and planning between and among Federal, State, local, regional, nonprofit, and private sector stakeholders in the NCR. Established by Congress in the Homeland Security Act of 2002 (section 882), NCRC's work addresses a major gap identified on 9/11 within the National Capital Region (NCR), which is home to a uniquely large number of Federal Departments and Agencies, numerous State and local jurisdictions, and our Nation's Capitol, among others.

To enhance the region's emergency response capability, NCRC and its staff members currently develop, coordinate, and implement interagency activities and plans for the NCR by serving as a key member on committees at the Federal, State, and local levels. NCRC's efforts include chairing and/or supporting the following: Joint Federal Committee (JFC); Consequence Management Subcommittee for National Special Security Events; Senior Policy Group (SPG); the Metropolitan CIOs; and, committees sponsored by the Metropolitan Washington Council of Governments and other key stakeholders. Through these organizations, the NCRC plays a critical role in coordinating and improving workforce preparedness and integration between and among NCR jurisdictions by sharing best practices and resources as appropriate.

The NCRC also provides real-time NCR-specific situational awareness and information sharing to emergency management and homeland security stakeholders in the NCR through the FEMA NCR Watch Desk reports, by maintaining the NCR portal in the Homeland Security Information Network (HSIN) and providing continuing interoperability technical support, as needed. The NCR Watch desk is the only DHS entity within the NCR that provides real time situational awareness support to the full spectrum of emergency management and homeland security stakeholders in the NCR.

To further address the need for improved coordination and information sharing among Federal, State, and local governments within the National Capital Region, NCRC has worked with its stakeholders to identify and address the following priority areas and ultimately improve the planning and preparedness efforts within the region:

- Federal Coordination - Fosters preparedness, resilience, and unity of effort among Federal Departments and Agencies by facilitating Federal interagency coordination on emergency and homeland security planning efforts within the NCR.

- Regional Governance and Integration - Ensures innovative solutions and a whole community approach to emergency management by proactively engaging, collaborating with, and providing leadership among Federal, State, and local partners within the NCR.
- Situational Awareness and Information Sharing - Provides DHS and Federal, State, and local partners with real-time access to accurate information for emerging incidents, events, and training activities within the NCR.
- Regional Risk Reduction - Promotes understanding of all-hazards risks and supports regional risk analysis efforts in order to collaboratively set priorities and design solutions to ensure a strong response capability in the NCR.
- Technology and Interoperability Coordination - Organizes and supports efforts to improve interoperability of information (video, voice, data) and integration for information sharing among key Federal, State, local, and regional partners in the NCR.

## **5) Evaluations and Assessments**

The Evaluations and Assessment Program assesses national preparedness and grant effectiveness, communicates these assessments through annual reports, and collects, shares, and monitors lessons learned and corrective actions from real-world events and exercises. The program is managed by FEMA's National Preparedness Assessment Division (NPAD), which is under Protection and National Preparedness. As part of this mission, NPAD identifies, tracks, and monitors corrective actions and lessons learned from exercises and real-world events, supporting the homeland security and emergency management community's continual need to change, adapt, and innovate. Evaluations and Assessments will be funded through management and administration transfers into the Salaries and Expense appropriation from the State and Local Programs appropriation.

**Department of Homeland Security  
Federal Emergency Management Agency  
Preparedness and Protection  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Preparedness and Protection**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	(510)	(482)	(112,728)
<b>2013 Current Services</b>	<b>128</b>	<b>124</b>	<b>63,153</b>
2013 Program Change	-	-	10,000
<b>2013 Total Requested Budget Authority</b>	<b>128</b>	<b>124</b>	<b>73,153</b>
Total Change 2012 to 2013	128	124	73,153

FEMA requests \$73.153 million, 128 positions, and 124 FTE.

**Adjustments to Base**

- Increase of \$0.048 million for pay inflation.
- Decrease of 109.776 million, 510 positions and 482 FTE for preparedness and protection efforts included in the FY 2012 Enacted base that will be funded through a transfer from the State and Local Programs appropriation in FY 2013.
- Decrease of \$3.0 million for nonrecurring Integrated Public Alert & Warning System (IPAWS) requirements.

**Program Changes**

- Increase of \$10.0 million for Mount Weather Capital Improvement projects.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Protection and National Preparedness (PNP) is responsible for the coordination of preparedness and protection related activities throughout FEMA. This responsibility encompasses grants, planning, training, exercises, individual and community preparedness, assessments, reporting and tracking lessons learned via the National Exercise Program, continuity, and national capital region coordination. PNP conducts assigned mission sets through four directorates (National Preparedness, Grant Programs, National Continuity, National Capital Region Coordination) consisting of 20 divisions and four offices. National Continuity Programs are funded within the Preparedness and Protection PPA as described below. National Capital Region Coordination is funded in the ARO PPA as described

above. National Preparedness and Grant Programs are funded through management and administration transfers into the Salaries and Expense appropriation from the State and Local Programs appropriation.

## **1) National Continuity Program**

FEMA's National Continuity Programs Directorate (NCP) serves the public by preserving our Nation's constitutional form of government across a wide range of potential threats and emergencies. NCP serves as the President's lead agent for ensuring the first National Essential Function of the Executive Branch, ensuring the continuance of our Nation's constitutional government under all conditions. NCP performs this mission by coordinating activities across all levels of Federal, State, territorial, local, and tribal governments. NCP is comprised of the Office of the Assistant Administrator, Continuity of Operations (COOP) Division, Operations Division, Readiness Division, Integrated Public Alert Warning System (IPAWS) Program Management Office (PMO), and the Mount Weather Emergency Operations Center (MWEOC).

### ***A. Continuity of Operations Division***

Having a solid COOP program is the cornerstone to ensuring that government can continue to provide essential services to the public throughout a range of disasters at all levels of government. The COOP Division:

- Leads FEMA's efforts to ensure comprehensive and consistent COOP preparedness across Federal, State, territorial, tribal, and local governments
- Develops, promulgates, and delivers a variety of products tailored to the needs of these governments to ensure that governments at all levels can continue to perform their essential functions in support of the American people
- Coordinates the integration of continuity preparedness capabilities and provides consistent continuity planning guidance and assistance to continuity planners in identifying their essential functions
- Supports these planners in developing the capabilities for the continuance of those essential functions in response to all hazards for the Federal Executive Branch, States, territories, tribal nations, and local government jurisdictions.

Throughout the United States, the COOP Division develops and promulgates continuity directives and guidance for the Federal Government in the form of directives and requirements, and to our non-Federal partners in the form of guidance. At all levels of government it also:

- Provides continuity outreach
- Develops, updates, and provides an extensive training and certification program
- Develops and provides valuable continuity workshops and exercises
- Provides continuity program assessments to the President of the United States, elected officials, and agency heads that enable them to make program improvements
- Coordinates Federal Executive Branch efforts to develop and improve continuity capabilities throughout the interagency community, with a focus on always maintaining the ability of all Federal departments and agencies (D/A) to perform the eight National Essential Functions through the performance of their individual Mission Essential Functions and Primary Mission Essential Functions (PMEF)



- Leads the management and implementation of the FEMA HQ, FEMA Regions, and other FEMA Component Continuity Programs, ensuring FEMA's readiness to perform its essential functions during any continuity event

### ***B. Contingency Programs (Readiness Division)***

NCP's Readiness division develops, maintains, and provides an array of continuity information technology systems and communications assets that provide the Executive Office of the President, the DHS Secretary, and the FEMA Administrator and other senior Federal leaders with a robust capability that allows them to maintain situational awareness before, during, and after a continuity event. These resources span the full spectrum of the National Security/Emergency Preparedness (NS/EP) community.

The Readiness Division also:

- Plans, programs, and manages operations, maintenance, and lifecycle updates and enhancements of these assets to satisfy evolving and extremely complex objectives
- Tracks and influences changes in intra-and interagency business rules and policies, and tracks and monitors stakeholder and security requirements to ensure interoperability and integration of all assets with which they must operate and coexist
- Ensures that critical national security systems are available and evolve as necessary to meet continuity mission requirements
- Maintains the continuity communications architecture for all of FEMA to include HQ and the regions, as well as the architecture for High Frequency (HF) communications with the States and territories

Two of the systems that this Division operates, maintains, and improves are the Readiness Reporting System (RRS) and FEMA National Radio System (FNARS). RRS provides direct support to the White House for collecting and reporting the continuity readiness posture of the Executive Branch D/As. The RRS also allows D/A leadership to report on their ability to perform PMEFs within their respective agencies. Since the RRS is the only reporting tool in the Government used to report this capability during an event or every 30 days, it has become a vital component within the continuity repertoire for reliable and timely situational awareness.

FEMA NCP also fills the role of lead agent/Program Management Office (PMO) for the FNARS system. This high-frequency, automatic link establishment (HF-ALE) system serves as the primary backup communications system that allows senior leadership to collaborate across the country and with States and territories during a natural disaster or continuity event. For example, during the National Level Exercise (NLE 11), FEMA exercised this system capability in support of a massive earthquake scenario, which projected catastrophic damage and disruption to the public and private telecommunications infrastructure. During this exercise, where there was a major communications outage within the New Madrid Seismic Zone, FEMA used FNARS as the primary means of communications to receive updates from the States and FEMA regions, to communicate with FEMA Headquarters, and to facilitate command and control within the affected areas.

### ***C. Continuity of Government (Operations Division)***

The Operations Division is responsible for ensuring the DHS Secretary and FEMA Administrator has the ability to advise the President and implement the plans and programs of the Federal Government for continuity of government. The Operations Division provides a single point-of-contact for assessing and implementing continuity plans across the Federal Executive Branch during an event that could potentially threaten the national security of the United States by threatening the Federal Executive Branch's ability to provide essential services to the public. Before, during, and after an event, this Division is responsible for:

- Analyzing the ability of Federal D/As to perform their essential functions
- Monitoring and assessing the status and operational capabilities of individual and collective D/As
- Developing and formulating courses of action for Secretary and Administrator consideration to restore Federal Executive Branch essential functions
- Coordinating implementation of courses of action
- Monitoring and tracking the implementation of chosen courses of action
- Providing continual updates on the strategic relocation of government activities

In FY 2011, FEMA's PNP Office established the Continuity Readiness Cell (CRC) within NCP. As part of a coordinated Federal Executive Branch effort, the CRC offers the Secretary of Homeland Security, the FEMA Administrator, and other senior leaders and decision-makers with a comprehensive repository of executive branch continuity capability information. This information includes long-term issues and readiness capabilities required to ensure the continuation of the eight National Essential Functions and Federal D/A PMEFs in an all-hazards environment. When long-term relocation of the Federal Government is required, the CRC will also provide analytical and decision support, prioritized resource allocation recommendations, and other government reconstitution-related needs.

To ensure that FEMA leadership is available and able to perform their essential functions in support of Continuity of Government and disaster response, this Division also implements and maintains the Operation Rendezvous relocation program. This program is responsible for coordinating the evacuation, relocation movement, and accountability of key leadership and staff to COOP sites utilizing the Federal (and Mutual Aid) Emergency Response Official (F/ERO) Repository system. The F/ERO Repository system aligns with the President's cybersecurity policy and provides the capability for public safety and security officials to validate the identities and attributes of continuity personnel for access permissions to relocation sites.

### ***D. Integrated Public Alert & Warning System (IPAWS) Program Management Office***

Executive Order (EO) 13407 established a policy requiring the United States to have an effective, reliable, integrated, flexible, and comprehensive system to alert and warn the American people. The Department of Homeland Security designated FEMA as the lead to implement the Executive Order. NCP established a program office to implement IPAWS. When IPAWS is completed it will:

- Allow the President of the United States to speak to the American people under all emergency circumstances, including conditions of war, terrorist attack, or natural disaster

- Build and maintain an effective, reliable, integrated, flexible, and comprehensive alert and warning system
- Enable Federal, State, territorial, tribal, and local alert and warning emergency communication officials to access multiple broadcast and other communications pathways for the purpose of creating and activating alert and warning messages related to any hazard impacting public safety and well-being
- Reach the American public before, during, and after a disaster
- Diversify and modernize the Emergency Alert System (EAS)
- Create an interoperability framework by establishing or adopting standards such as the Common Alerting Protocol (CAP)
- Enable alerts and warnings for those with disabilities and those without an understanding of the English language
- Partner with NOAA to enable seamless integration of message transmission through national networks

Two primary programs within the IPAWS Program Management Office are the Primary Entry Point (PEP) station expansion and modernization project, and the IPAWS-Open Platform for Emergency Networks (OPEN) application development project. The core of the National EAS are FEMA-connected private radio stations known as PEP Stations. These stations can provide national warning information prior to, during, and after emergencies. FEMA provides communications equipment and emergency generators that enable PEP stations to continue broadcasting warning and safety information to the public throughout an event. Building upon 36 legacy stations, the IPAWS program is establishing an additional 41 PEP stations to provide direct broadcast coverage to at least 90 percent of the American public and modernizing the legacy stations to include protection from EMP hazards and modernized fuel management and spill containment measures.

IPAWS-OPEN is a FEMA mission-critical application that provides for access and authentication of alert messages from public safety officials and integration of alert communications systems. By integrating access to EAS, Commercial Mobil Alerting System, NOAA Weather Radio system, and Internet communications services, public safety officials at all levels can provide timely alerts to citizens in danger over multiple communications paths simultaneously and at no additional cost. A key new capability enabled by IPAWS-OPEN is the ability for local officials to send geo-targeted alerts to cellular devices using technology other than voice or SMS text channels that are likely to be congested during an emergency.

### ***E. Mount Weather Emergency Operations Center***

MWEOC is a 564-acre DHS facility approximately 64 miles west of Washington, D.C. MWEOC provides the infrastructure necessary to support COOP, Incident Management, classified programs, and other all-hazards activities for multiple Federal Executive Branch D/As. For example, MWEOC hosts the DHS/FEMA HQ COOP site as well as provides space for use by several D/As for their storage, offices, and operations. MWEOC also supports a variety of disaster response and continuity missions. It is a hub for our Nation's emergency response activities. In addition, MWEOC provides operational space for and maintains the capability to coordinate, track, and synchronize the relocation of key leadership and staff from the DHS and FEMA Emergency Relocation Groups (ERG) members to perform their essential functions. ERG members serve as emergency personnel responsible to perform their Agency mission-essential functions.

MWEOC's assets include:

- Offices and classified meeting space
- Dormitory and training rooms
- Cafeteria that seats more than 280 personnel
- Fully equipped fire department and emergency medical unit with an ambulance service operated and staffed by FEMA employees
- Health unit
- Federal police force providing 24/7 security
- Motor pool
- Storage facilities
- Electrical redundancy

In accordance with its Master Plan, MWEOC is in the middle of a massive infrastructure upgrade to demolish antiquated buildings and replace them with modern facilities capable of supporting 21st century technology and today's Federal D/A requirements. MWEOC has worked hard to improve internal financial and acquisition processes to allow more rapid use of and accountability over larger projects while maintaining operational capabilities.

## **2) Technical Assistance**

The Technical Assistance (TA) program provides specialized expertise and services delivered through direct assistance to State and local homeland-security and emergency management agencies. The TA program addresses areas of greatest State and local need; is committed to transferring and institutionalizing knowledge at the State and local levels; and provides a menu of services that is responsive to national priorities. The services provided through this program increasingly address complex challenges requiring specialized expertise that requesting agencies do not possess. TA will be funded through management and administration transfers into the Salaries and Expense appropriation from the State and Local Programs appropriation.

**Department of Homeland Security  
Federal Emergency Management Agency  
Urban Search and Rescue Response System  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Urban Search and Rescue Response System**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	(280)	(255)	(48,098)
<b>2013 Current Services</b>	<b>832</b>	<b>801</b>	<b>178,130</b>
2013 Program Change	-	-	(6,233)
<b>2013 Total Requested Budget Authority</b>	<b>832</b>	<b>801</b>	<b>171,897</b>
Total Change 2012 to 2013	832	801	171,897

FEMA requests \$171.897 million, 832 positions, and 801 FTE in the Response PPA.

Adjustments to Base

- Increase of \$0.253 million for pay inflation
- Increase of \$0.56 million transferred from the Recovery PPA for the Declarations Unit move from the Recovery Directorate to the ORR Front Office
- Decrease of \$35.017 million, 280 positions and 255 FTE transferred to the ARO PPA for response efforts conducted in the regions by the Regional Administrators
- Decrease of \$12.137 million for a one-time programmatic increase in the FY 2012 Enacted Salaries and Expenses appropriation for the US&R Response System.
- Decrease of \$0.846 million for a reduction to Regional Planning program costs
- Decrease of \$0.8 million for a reduction to the FY 2013 National Level Exercise Program
- Decrease of \$0.111 million for a reduction to the Field Operations – Communications Equipment

Program Changes

- Decrease of \$6.233 million for the elimination of the Pre-positioned Equipment Program

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Response mission seeks to conduct emergency operations to save lives and property through positioning emergency equipment, personnel, and supplies; evacuating survivors; providing food, water, shelter, and medical care to those in need; and restoring critical public services. FEMA

conducts response operations in partnership with State, tribal, and local governments; interagency Federal partners; nongovernmental organizations; and the private sector.

## **1) Office of Response and Recovery**

In FY 2011, the organization of OAARR was completed. The OAARR oversees all gubernatorial requests for emergency declarations and major disasters declared by the President in compliance with the Robert T. Stafford Disaster Relief and Emergency Assistance Act. It is comprised of the Executive Office, Executive Communication and Coordination Group, Strategic Integration Group, Disaster Management and Support Environment, and the Declarations Unit.

The OAARR also provides strategic level coordination, resource integration leadership, and oversight to FEMA's major operational components. This includes the Office of Readiness and Assessment, the Recovery Directorate, the Response Directorate, the Logistics Management Directorate, and the FCO.

### ***A. Executive Office***

The Executive Office is responsible for providing direct support to the Associate Administrator and Deputy Associate Administrator for Response and Recovery in a number of different areas. This support includes scheduling, long range planning, administrative support, preparing reports, conducting research, and integration of subordinate element mission execution.

### ***B. Executive Communication and Coordination Group (ECCG)***

The ECCG enables and supports the execution of ORR and subordinate organization programs through the representation, development, review, communication, and coordination of policies, guidance, strategies, and programmatic activities with internal and external partners and stakeholders. ECCG coordinates the responses to and addresses a wide variety of issues and inquiries from sources internal and external to FEMA; carries out administrative, programmatic, analytical, research, guidance, policy, and outreach activities; and responds to significant and special assignments that have broad national impact. ECCG communicates and coordinates with ORR stakeholders on broad and emerging policy issues, programs, and guidance that have national scope and impact.

### ***C. Strategic Integration Group (SIG)***

The SIG conducts strategic planning, coordination, and synchronization activities with subordinate ORR organizations to ensure collaborative and aligned program operations and resource utilization that complements and supports ORR long-term goals and objectives.

The SIG acts as a transformation, change, and knowledge management agent; leverages private and public sector best practices where applicable; and coordinates and ensures implementation of initiatives consistent with the vision and goals of the ORR. It also reviews future budget cycles to align ORR goals, objectives, activities, accomplishments, resources, and facilitates the proper and timely funding of key response, recovery, and logistics initiatives.

#### ***D. Disaster Management Support Environment (DMSE)***

The DMSE office enables FEMA to accomplish its response, logistics, and recovery missions by improving access to accurate, timely, and relevant information. DMSE has developed functionality and capability where necessary to increase the speed, effectiveness, and efficiency of business processes through the Situational Awareness Viewer for Emergency Response and Recovery (SAVER<sup>2</sup>). Initial efforts were focused on incorporating functionality and informational data feeds within SAVER<sup>2</sup>. Through SAVER<sup>2</sup>, essential data aligned with the Core Capabilities in Presidential Policy Directive - 8 (PPD-8) and the Whole Community Doctrine will be transparently available within the entire disaster enterprise. At maturity, SAVER<sup>2</sup> will provide enhanced critical information flow throughout the DMSE.

#### ***E. Declarations Unit***

The Declarations Unit processes all gubernatorial requests for emergency declarations and major disasters for the President, as well as, all other related actions to include appeals, cost-share adjustments, requests to reopen an incident period or expand the incident type under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5208. It is the mission of the Declarations Unit to ensure that each gubernatorial request for assistance meets the statutory and regulatory requirements and is processed as expeditiously as possible.

#### ***F. Office of Readiness and Assessment***

The Office of Readiness and Assessment develops and implements the FEMA Readiness Assessment Program (F-RAP). F-RAP determines and reports an overall level of readiness by FEMA to fulfill its disaster response, recovery, and logistics missions. F-RAP focuses on three areas: validation of FEMA Unified Readiness Reporting System submissions from FEMA components, identification of the “Readiness Enablers” or elements that enable any operational unit to deliver their required functions (Doctrine, Organization, Training, Material and Equipment, Leadership, Planning, Personnel, and Facilities), and providing support to FEMA elements through Operational Analysis assistance.

The program provides recommendations to leaders about ways to improve the readiness status of their respective response and recovery elements, as well as provides a framework for collecting, analyzing, and applying operational information to improve the Agency’s ability to respond to and recover from incidents regardless of their cause. Thus, FEMA leadership is provided with an important objective evaluation of FEMA component readiness, efficiency, effectiveness, and in addition is provided fact-based information for improved decision-making and resource allocation.

## **2) Response Directorate**

FEMA’s Response Directorate provides and coordinates the core Federal response capabilities needed to save lives, minimize suffering, and protect property in communities throughout the Nation overwhelmed by the impact of an incident, regardless of cause. Response program activities encompass the coordination of all Federal emergency management response operations, response planning, and integration of Federal, State, tribal, and local disaster programs in order to ensure

efficient and effective delivery of immediate emergency assistance to individuals and communities impacted and overwhelmed by these disasters, emergencies, or acts of terrorism.

The Directorate strives to strategically address the future through establishing, maintaining, and growing program areas, including doctrine, exercises, deliberate planning, and operations and disaster emergency communications support, as well as intra- and interagency coordination. The Directorate addresses training and career development for Response staff, as well as the development of Response internal governance. During FY 2011, the Incident Workforce Management Office (IWMO) (formerly the Disaster Reserve Workforce Division (DRWD)) was transferred to the Response Directorate, where it will now work alongside the developers of the FEMA Qualifications System (FQS). This strategic realignment will better serve the customers and stakeholders by allowing one organizational entity to provide coordination and direction of qualification and certification of the FEMA workforce through experience, training, and demonstrated performance.

Beginning in FY 2010, and continuing through FY 2013, the Directorate has been pursuing development of the FQS through the Disaster Relief Fund (DRF). The staff for the program is funded through the Salaries and Expenses account. The FQS is a performance-based approach to workforce qualification and certification of incident management and incident support positions activated to support disasters. This approach seeks to improve FEMA's response and recovery services by identifying required competencies and tasks for disaster personnel and fostering knowledge and skill development within those competencies to successfully perform the tasks. The FQS is guided by operational requirements, current doctrine, and drives FEMA's training curriculum for disaster workers at all organizational levels.

The FQS was built upon and expands the former DRWD credentialing initiative. The individual cadres utilized their existing DRWD position task books as a foundation for their work on the FQS products, moving from a training focus to an Incident Command System (ICS)-compliant, performance-based focus on more robust, measurable competencies and tasks that support increased functional ability across each cadre.

The Response Directorate encompasses the following programs:

***A. Office of the Assistant Administrator***

The Office of the Assistant Administrator provides strategic and operational guidance and leadership to all stakeholders, including FEMA headquarters, regional offices, and interagency partners. It ensures that Federal emergency response systems and capabilities are properly poised to support States and communities. Key functions include providing leadership necessary to integrate the Nation's emergency response teams, systems, and capabilities; coordinating all Federal emergency management disaster operational planning and programs; and executing the response mission through its three major program areas – operations, planning, and disaster emergency communications.

***B. Training, Exercise, and Doctrine Office***

The Training, Exercise, and Doctrine (TED) Office develops clear and well-communicated incident management and incident support doctrine; guides the development of standards and training; and validates capabilities and concepts through exercises, which promote the professionalization of FEMA's emergency managers in accordance with the NIMS. FEMA doctrine builds upon NIMS and



the National Response Framework to describe FEMA's core tenets, concepts, methods, and processes for serving disaster survivors. The Training Unit develops, pilots, and coordinates delivery of training courses to FEMA Response staff members based on this doctrine. Finally, the Exercise Unit tests and evaluates core systems and procedures to ensure effectiveness in the delivery of FEMA's incident management and support. TED validates FEMA staff's ability to perform incident management and support core competencies as well as concepts and processes put forth in doctrine and informs the revision of doctrinal materials and training courses.

**The Training Unit** improves Response Directorate Incident Workforce readiness through training and professional development. The Training Unit ensures that resources are aligned with the Response Directorate's operational response at the field, regional, and National levels. Additionally, the unit utilizes FEMA's core capabilities to develop response-specific professional development opportunities for all Response staff and teams. By delivering comprehensive response training, the Training Unit prepares and trains individuals and teams through set standards in order to deploy and respond to disasters. The Training Unit develops the standards, which will drive exercises.

**The Exercise Unit** contributes to the development and execution of operational exercises by providing response-oriented consultation, advisement, and program expert knowledge, as well as by coordinating with other agencies to provide critical interaction and participation in national-level response exercises. The type and level of support is dependent upon the needs identified for each exercise, and is closely coordinated with the National Preparedness Directorate's Homeland Security Exercise and Evaluation Program. The Exercise Unit develops the input, which will drive the revision and update of training and doctrine. A key component of the Exercise Unit's responsibility is to develop no-notice exercises, Thunderbolts, to evaluate and maintain readiness of FEMA's nationwide response assets.

**The Doctrine Unit** conducts comprehensive reviews and revisions of the Response Directorate's guiding documents, identifies voids, and creates new documents in order to guide FEMA response operations at the incident, regional, and national levels. The unit reviews, revises, updates, and/or develops incident management and support doctrinal materials incorporating NIMS components, terminology, principles, and policies in accordance with Homeland Security Presidential Directive 5 (HSPD-5) and PPD-8. In addition, the Doctrine Unit designs and implements a comprehensive and permanent program for continual development and maintenance of FEMA disaster operations doctrinal materials that guides FEMA response operations at the incident, regional, and National levels. The Doctrine Unit develops the materials on which training will be based and the standards on which exercises are evaluated.

### ***C. Incident Workforce Management Office***

The IWMO (formerly DRWD) deploys and supports a professional disaster workforce of personnel ready for the national, all-hazard response needs of FEMA headquarters and regional leadership and assists in the deployment of responders from FEMA's full-time workforce and the DHS-supported surge capacity force when required.

**The Deployment Unit** manages and administers the ADD personnel deployment system for the incident workforce and the surge capacity force throughout the entire spectrum of FEMA's preparedness, response, recovery, and mitigation missions. The unit implements, manages, and improves standardized deployment processes for all-hazards response and provides personnel visibility

and oversight of deployment processes including the tracking of personnel during pre-event (availability), event (deployment), and post-event (demobilization) cycles of an incident. The staff applies metrics to ensure that staffing requirements are met in the timeframe required, generates ad hoc reports to audit deployment decisions and employee deployment status, and monitors and executes the day-to-day tasks needed to maintain the accuracy and the integrity of employee records and the deployment system.

**The Readiness Unit** manages and coordinates all aspects of cadre and surge readiness and provides oversight for the surge and volunteer workforce programs that will ultimately roster more than 40,000 persons within the Department. The Readiness Unit will assess force structure and coordinate activities with FEMA leadership and key program officials. The unit coordinates directly with Departmental headquarters and component agencies on surge capacity force selection, training, exercises and readiness, manages all facets of external surge capacity force training requirement validation, accountability of individual and cadre/surge readiness status, and manages the FTV Program.

**The FEMA Qualifications System Unit** establishes the system for qualification and certification of the FEMA workforce through experience, training, and demonstrated performance. FQS ensures a qualified workforce based on performance standards, and establishes minimum, consistent, and fair qualification requirements for all workforce positions regardless of employment status. FQS also works to strengthen the training and qualification standards for all workforce positions by implementing improvements based on analysis.

**The Cadre Coordination Unit** is responsible for the communication, coordination, and outreach of workforce procedures and program guidance to the national and regional cadre managers and liaisons on workforce deployment, readiness, and FQS. The unit guides the creation of information technology systems that support the deployment, recording, tracking, and reporting of FQS, medical assessment recording and reporting, and similar systems. Further, it is responsible for communicating, coordinating, and strengthening partnerships and for working with regional operations to ensure effective relationships are maintained between FEMA headquarters and the field. The unit sponsors and develops routine communications via monthly conference calls, office visits, and other media and works with the F-RAP team to develop surveys and other tools to assess customer fulfillment and satisfaction.

#### ***D. Operations Division***

**The Operations Division Management Office** is responsible for the management and coordination of the core Federal disaster response teams, resources, and programs needed to support the regions; interagency partners; and State, tribal, and local governments, voluntary agencies, and disaster survivors impacted by a major disaster or emergency, regardless of cause. The Operations Division achieves its mission through the Response Coordination Branch, Field Operations Support Branch, and US&R Branch (National US&R Response System).

**The Response Coordination Branch (RCB)** is responsible for the management and coordination of FEMA's operation and coordination centers across the Nation, maintaining situational awareness of all-hazards incidents that may impact the United States and its territories. The branch coordinates the operations of the NRCC, the National Watch Center, the FEMA Operations Center, the Future Operations Section, and FEMA liaisons to other government agencies.

During steady state and activations, the RCB supports disaster response and resource planning; monitors potential or developing events, and provides situational awareness to FEMA leadership, DHS leadership, and the White House national security staff to inform decision makers. The RCB coordinates the activities of FEMA liaisons strategically detailed to U.S. Northern Command, the FBI's National Joint Terrorism Task Force, DHS National Operations Center (NOC), and the National Hurricane Center (NHC).

**The National Response Coordination Center** is a multi-agency center that provides overall Federal support coordination for major disasters and emergencies, including catastrophic incidents and emergency management program implementation. The NRCC activates to coordinate with the affected region(s) and provide needed resources and policy guidance to support an incident. When activated, the NRCC supports disaster response and resource planning; monitors potential or developing events, and provides situational awareness to the Administrator of FEMA and other senior leadership, the Secretary of DHS and other DHS leadership, and the White House NSS to inform decision-making. The NRCC supports regional and field component operations, and implements coordination of national-level disaster response activities and resource prioritizations and allocations.

**The National Watch Center (NWC)** maintains a 24/7 national situational awareness of potential, developing, or ongoing situations which may require a Federal response to an incident/event. The NWC links RRCCs, State EOCs, regional DHS components, National and regional Department and agency leads for ESFs, State fusion centers, Joint Terrorism Task Forces, Department of Defense (DOD) Operations Centers, and other key Federal, State, and local operational centers. It supports the collection and distribution of pre-incident information to the DHS NOC for development of a national common operating picture. The NWC provides situational awareness and information sharing for all-hazards incidents that may require Federal response to include planning and response operations at the classified level.

**The FEMA Operations Center (FOC)** is the official notification point for FEMA and supports the DHS and Executive Branch departments and agencies with several classified and unclassified programs authorized by National Security Presidential Directive 51, HSPD-20, the Federal Civil Defense Act of 1950, 50 USC, Appendix 2251, and Executive Order 12656. The FOC facilitates distribution of warnings, alerts, notifications, and bulletins about events that may require a Federal response to the Federal, State, and local emergency management community using a wide variety of communications systems such as the National Warning System, the Washington Area Warning System, the national-level EAS; and the Emergency Notification System.

The FOC supports the NRCC and implements a myriad of notifications to all Federal departments and State EOCs as well as activating emergency management staff. The FOC's multifaceted communications and operations capabilities enable it to receive, generate, and disseminate critical, time-sensitive information to senior decision makers at all government levels. The FOC receives, analyzes, and disseminates all-hazards information within FEMA and DHS and to other departments and agencies, as well as to disaster response team members.

**The Future Operations Section (FOS)** serves as a support element to the NWC, NRCC, RRCCs, response teams, and FEMA senior leadership by providing analysis of threats, both natural and man-made, that present a potential for Federal support and/or assistance. The support includes pre-identification of threats, identification of planning requirements, coordination with internal and external stakeholders, and the development of executable operations plans, courses of action, and recommendations for consideration. During an event, the FOS assesses the operations tempo and

determines future short-term needs, such as staffing, and equipment. It maintains situational awareness of developing events outside of the ongoing operations to facilitate rapid response, prioritization, and shifting of assets, as required.

**The Field Operations Support Branch (FOSB)** provides program management and support of the National and Regional IMATs. The Branch supports doctrine development and conducts internal OREs to ensure IMAT readiness. The Branch also coordinates FEMA's operational requirements for the National Airborne Operation Center and other operations.

**The National Incident Management Assistance Teams**, with support provided by the FOSB, provide the initial National rapid response to major incidents, disasters, special events, and exercises. The primary mission of the National IMATs is to deploy rapidly to an incident or threatened area, state, or FEMA region to work with the affected State(s) to identify and satisfy initial requirements for Federal assistance. IMATs coordinate and integrate interjurisdictional response in support of the affected State(s) or U.S. territory(s). Additionally, IMATs specialize in management and assistance for chemical, biological, radiological, nuclear, and explosives (CBRNE) incidents. National IMATs provide initial situational awareness for Federal decision-makers, and support the initial establishment of a unified command. IMATs provide multidisciplinary emergency management and may include members from the interagency community.

**The National (Urban Search and Rescue) Response System** funds 28 Task Forces across the country to provide a coordinated, national, all-hazards response capability for locating, extricating, and stabilizing survivors of structural collapse resulting from natural and man-made causes, including those involving terrorism and hazardous materials. If a disaster event warrants national US&R support, FEMA will deploy the three closest task forces within six hours of notification, and additional teams as necessary. The role of these task forces is to support State and local emergency responders' efforts to locate victims and manage recovery operations. Each task force consists of two 31-person teams, four canines, and a comprehensive equipment cache. US&R task force members work in four areas of specialization: search, to find victims trapped after a disaster; rescue, which includes safely digging victims out of tons of collapsed concrete and metal; technical, made up of structural specialists who make rescues safe for the rescuers; and medical, which cares for the victims before and after a rescue

Among its many activities, US&R is responsible for interaction with sponsoring agencies and operational groups; management roles, including managing cooperative agreements with the task forces, providing budget, training and exercises; and field operations roles, including cadre management, cache management, alerts and notifications, activations and deployments, and event and after action reporting. In addition, US&R is responsible for the strategic role of ESF-9 coordination, which includes concepts such as force multipliers to augment our task forces with other search and rescue resources from the State and or local responders.

### ***E. Planning Division***

**The Planning Division Management Office** leads the development of deliberate plans across the Federal Government for catastrophic incidents. The Division coordinates and is responsible for deliberate, adaptive, interagency analysis and plans for potential/actual incidents while directing regional planning efforts for all-hazard events; providing oversight in the development and maintenance of special programs focused on CBRNE hazards to communities throughout the Nation

impacted by an incident, regardless of cause. In addition to all-hazard planning, the Division is responsible for Remote Sensing, National Special Security Events, and the National Hurricane Program (NHP). Further, the Division is accountable for integrating and aligning all FEMA's response planning efforts, coordinating the efforts of the Emergency Support Leadership Group (ESFLG), and continuing to lead the agency's Whole Community, maximum of maximum efforts, as well as supporting the implementation of PPD-8.

**The National Hurricane Program** provides evacuation preparedness technical assistance to State, tribal, and local governments, including the preparation of hurricane evacuation studies and technical assistance in developing evacuation plans, assessing storm surge estimates, evacuation zones, evacuation clearance times, transportation capacity, and shelter capacity. The NHP also provides for post-storm assessments and other special hurricane analyses, develops hurricane evacuation studies, and maintains and annually trains more than 3,000 State and local end users in the Hurricane Evacuation decision assistance software package.

NHP helps to ensure an understanding by State and local authorities of all hurricane hazards and their communities' vulnerabilities to these hazards. The program consistently also provides a common operating software to view hurricane forecasts and hurricane evacuation study information; to provide the most accurate and up-to-date storm surge data for risk assessments and operational decision-making; to provide sound guidance for planning and preparedness activities at regional and national levels; and to maintain currency and effectiveness of NHP products and services.

**The Chemical, Biological, Radiological, Nuclear, and Explosives Branch** supports FEMA's all-hazards response mission through the development and maintenance of capabilities and programs that enable FEMA to respond to the consequences of a CBRNE disaster. This includes supporting the development of CBRNE policies, protocols, and procedures during both crisis and consequence management phases of a CBRNE response. The Branch accomplishes this mission by leveraging subject matter expertise in nuclear, radiological, chemical, and biological, and high-explosive hazards from within FEMA, the interagency, and the scientific community in support of FEMA's mission. This includes advising FEMA leadership during a CBRNE incident; initiating mission assignments; and activating appropriate emergency response teams for CBRNE incidents. The Branch coordinates the Improvised Nuclear Device Response and Recovery (INDRR) Program, the Nuclear Incident Response Team (NIRT), the Domestic Emergency Support Team (DEST), and the Nuclear/Radiological Incident Prevention Program (NRIPP).

**The Improvised Nuclear Device Response and Recovery Program** supports FEMA's role as the Departmental lead for response and recovery efforts associated with the terrorist use of an IND, which is a device designed to result in a nuclear fission reaction that would result in a complex catastrophic disaster in a major urban area that would severely challenge the Nation's ability to respond effectively in a timely manner. While all emergencies begin as local events, it can be anticipated that an IND would overwhelm State and local resources, and a rapid well-coordinated Federal response with locals and States is required for life-saving activities and long-term support.

The Integrated Planning Guidance for FY 2011-2015 identifies FEMA as the Departmental lead for response and recovery efforts associated with the terrorist use of an IND. FEMA developed an IND strategy and implemented an IND Response and Recovery Program. The resulting INDRR Program works to align organizational and strategic direction that affects project and program goals and objectives and works collectively with the intra- and interagency, and with State, regional, and local

agencies to resolve issues within a structured approach where roles and responsibilities for response and recovery to an IND incident are shared.

**The Nuclear Incident Response Team** is comprised of specialized teams managed day-to-day by the Department of Energy's (DOE) National Nuclear Security Administration (NNSA) and the Environmental Protection Agency (EPA). The teams are operationally controlled by DHS/FEMA when activated to provide expert technical advice and support in disaster response operations and other needs involving nuclear weapons incidents, radiological incidents, lost or stolen radioactive material incidents, and acts of nuclear terrorism. The FEMA Administrator is responsible for establishing standards and certifying when those standards have been met; conducting joint and other exercises and training and evaluating performance; and providing funds to DOE and EPA, as appropriate, for homeland security planning, exercises and training, and equipment.

**The Domestic Emergency Support Team (DEST)** is a rapidly deployable, interagency team of experts within the United States Government, staffed from FEMA, FBI, DOD, DOE, Health and Human Services (HHS), and EPA. The DEST provides guidance concerning WMD threats and actual incidents or attacks. In accordance with the Post-Katrina Emergency Management Reform Act, the FEMA Administrator has the responsibility for directing the DEST. National Security Presidential Directives-46/15 further identify the DEST as a specialized interagency team designed to provide expeditiously expert advice, guidance, and support to the FBI On-Scene Coordinator (OSC) during a WMD incident or credible threat. FEMA is statutorily responsible for directing the operations of the DEST; coordinating the interagency team for mission planning purposes; and deploying as part of the team.

Besides providing interagency crisis management assistance, the DEST can provide information management support and enhanced communications to ensure the OSC maintains connectivity with national-level decision makers during an ongoing crisis. The DEST also can be organized to provide the expert advice required for certain explosive devices and their components including chemical, biological, nuclear, and radiological dispersal devices. Technical expertise and equipment is also available to operate in a contaminated environment in order to conduct onsite activities like threat sampling, technical measurements, tactical intelligence collection, evidence collection, and other actions.

**The Nuclear/Radiological Incident Prevention Program** was established to support the national response to nuclear and radiological threats. FEMA established the NRIPP to enhance the Department's ability to coordinate technical response operations to such threats, in coordination with the FBI as the lead of domestic counterterrorism. In accordance with the Federal Improvised Nuclear Device Concepts of Operations Plan, FEMA is responsible for representing DHS and for coordinating with the FBI, DOE, and DOD, on the deployment of radiation detection capabilities to support the FBI in search activities to detect, locate, and identify illicit nuclear or radiological materials. NRIPP, in coordination with DHS components, works with the FBI to develop plans, procedures, and tools to detect and locate illicit nuclear or radiological materials and supports FBI directed search activities during threats or incidents involving such materials. Support for policy development, program guidance, and contract oversight for the NRIPP is provided by the CBRNE Branch.

**The National Planning Branch** is responsible for deliberate and adaptive interagency planning at the Federal level in preparation for special security events, and for responding to and stabilizing a catastrophic event within 72 hours. The Branch has two sections, the Interagency Planning Section, and the Future Planning Section. The Interagency Planning Section is responsible

for leading the deliberate, comprehensive planning efforts for special security events, and incident response at the Federal level. This section coordinates the consolidation of interagency partner's roles, authorities, and actions into comprehensive plans to address special security events, and the Federal support to regional, State, tribal, and local response efforts. The Future Planning Section is responsible for deliberate planning for FEMA headquarters as an organization, for conducting analysis on a daily basis to maintain situational awareness and for building situational understanding, and for leading and coordinating adaptive planning at the Federal level during incident response and NRCC activation. Adaptive planning is the means by which existing plans are quickly adapted as required to better suit the specific incident. Adaptive planning is rapid, effective planning in a dynamic situation, is a force multiplier that will enhance response, and is conducted in short/no-notice timeframes.

**The Regional Planning Branch** develops coordinated and integrated DHS and FEMA Federal-level catastrophic disaster response plans, using a deliberate planning process. Regional plans are linked to National all-hazards plans and are developed in partnership with States and local communities. Whole community principles are incorporated throughout the planning process and reflected in the plans. The Branch serves as the point of contact for the regions in the Response Directorate for planning. The Regional Planning staff can deploy to the regions to further develop pre-event relationships, protocols, response processes, and a mutual understanding of other agencies roles, issues, and needs. The goal is to increase the plan-to-action ability to respond with little or no advance notice/warning to major disasters and incidents through rapid response with massive support.

#### *F. Disaster Emergency Communications Division*

**The Disaster Emergency Communications (DEC) Division Management Office** provides and leads integrated Federal communications support to emergency responders at all levels of government. It has a leading national role in the management, oversight, and development of emergency communications capabilities and doctrine. The Division develops and implements the capability to provide tactical voice, data, and video communications services before, during, and immediately after an incident to support emergency managers at all levels of governments. The DEC Division accomplishes its mission through two highly successful core program activities: RECCWGs and MERS.

**The Communications Integration Branch (CIB)** develops comprehensive and integrated Federal, regional, tribal, and State communications plans to ensure that FEMA is prepared to respond and is well integrated with emergency responders during response and recovery efforts nationwide. These planning efforts include the development of State Communication Annexes, development of regional plans, updating National-level contingency plans, and fulfilling additional requirements of these plans through the development of pre-scripted mission assignments. The CIB works to build communications policies that provide the scope and methods for using FEMA capabilities alongside partners and customers. In addition, the CIB works with the Tactical Emergency Communications Branch (TECB) to determine how the actions of external partners might affect communications capabilities and coordinates plans with external emergency communications providers to build a comprehensive communications support structure.

Through the CIB, the DEC Division manages the RECCWG National Program Office, which assesses emergency communications capabilities within the respective FEMA regions, facilitates disaster preparedness through the promotion of multi-jurisdictional and multi-agency emergency communications networks; and ensures that activities are coordinated with all emergency

communications stakeholders within the FEMA regions. The RECCWG budget aligns funding with disaster emergency communications requirements and responsibilities, to improve operational readiness, continuity of operations, and interoperability, and to ensure the effective use of all response communications assets to achieve mission success.

**The Tactical Emergency Communications Branch (TECB)/Mobile Emergency Response Support** significantly enhances FEMA's response coordination and execution across the full spectrum of incidents, both natural and man-made. TECB is engaging across the Federal Government, with State, tribal, and local agencies, and with other partners to help establish consistent doctrine, plans, tactics, techniques, and procedures to ensure effective communications interoperability, standards, and capabilities during Federally coordinated response operations. When disaster strikes, the TECB aggressively responds with mission critical technical support to assist deployed MERS coordinators, FEMA regional emergency communications coordinators, and Federal response teams to overcome near-term emergency communications challenges.

MERS is a national asset that provides rapid deployable and self-sufficient, command, control, and disaster emergency communications capabilities, tactical operations, and logistics support for the on-scene management of disasters. It is a key FEMA disaster response asset that plays an important role supporting disaster response and recovery operations. MERS supports Federal, State, tribal, and local disaster responders in several major areas including multi-media communications, information processing, logistics, and overall disaster operations and administration. Strategically positioned in six locations across the Nation, MERS detachments can support multiple field operating sites concurrently while building out disaster infrastructure for multiple incident areas of operation.

MERS provides a cost-effective solution to the National Response Framework, Emergency Support Function #2 requirements. The detachments are available 24 hours a day to deliver FEMA disaster emergency communications and other life-saving, live-sustaining infrastructure support services. The ability to deploy mobile command center Interim Operating Facilities, Joint Field Offices, and Disaster Recovery Centers allows emergency management staff and Federal response teams to focus on immediate response and recovery activities. MERS home station operations centers and specialists support FEMA's network of operations centers, providing situational awareness and reporting down to the incident site level.

Much work remains to improve disaster emergency communications interoperability with other Federal departments and agencies and emergency responders at State, tribal, and local levels of government. The DEC Division and the MERS FY 2013 Operating Plan provide day-to-day cross-cutting support to FEMA directorates, and ensures effective and efficient service delivery to relevant emergency management personnel during times of National disaster. Missions and function of DEC Division and MERS align with DHS QHSR Goal 5: Ensuring Resilience to Disaster; 5.3 - Ensure Effective Emergency Response; and 5.3.2 - Conduct effective disaster response operations. Establishing a sound budget for the DEC Division and the MERS Detachments supports the Response Directorate Strategic Planning Guidance/Operating Plan for FY 2013 by building a robust communications program that includes funding operations and maintenance for current mission requirements and enhances our ability to support incidents involving INDs, cyber attacks, and other full-spectrum response planning and operations.



### ***G. Business Management Division***

**The Business Management Division (BMD)** coordinates the major support requirements of the Directorate. The Division is charged with making decisions about the Response Directorate's mission needs and providing support for the day-to-day mission of the Directorate. BMD accomplishes this mission through the coordinated efforts of the Assets and Contracts Management Branch, the Human Resources Management Branch, the Financial Management Branch, and the Mission Assignment Program.

### **3) Logistics Management Directorate**

The Logistics Management Directorate (LMD) is FEMA's major program office responsible for policy, guidance, standards, execution, and governance of logistics support, services, and operations. LMD's mission is to provide an efficient, transparent, and flexible logistics capability for the procurement and delivery of goods and services necessary for an effective and timely response to and recovery from disasters.

LMD funding is organized in the following manner:

**Disaster Logistics Management - Management & Administration (M&A)** is responsible to plan, manage, and sustain the national logistics response and recovery operations, in support of domestic emergencies and special events – to act as the National Logistics Coordinator and Single Logistics Integrator for National incident support. It also functions as the Logistics National Cadre Manager for more than 1,000 DAEs.

- Front Office - provides comprehensive Logistics-related fiscal, personnel and administrative services, and coordination to achieve optimum mission requirements and capabilities
- Logistics Management Transformation Initiative - coordinates and manages emerging transformation initiatives and concepts such as the National Logistics Coordinator concept, Key Readiness Contracts, and the Demonstration Program: Logistics Capability Calculator.
- Business Management - integrates human resources management and strategies into the overall strategic objectives for LMD. Advises directorate leadership on human capital requirements and professional training development for operational missions and programs. Provides comprehensive financial management services for the five divisions, which include budget formulation, oversight, and financial document tracking. The division also manages the headquarters DAE Logistics cadre, which consists of more than 300 DAEs.

**Disaster Logistics Distribution Management Operations** manages FEMA's warehouse facilities and transportation systems used to receive, store, maintain, issue, distribute and track supplies, services, material and equipment.

**Disaster Logistics Property Accountability, Oversight, and Coordination** provides industry standards (using American Society for Testing and Materials voluntary consensus standards) quality assurance, customer assistance and technical reviews of property accountability, inventory services, and oversight of disposal and donations of agency disaster-funded supplies and equipment.

**Disaster Logistics Operations** manages and executes the coordination and communication, tracking and reporting for all-hazards operations and serve as the central reporting element for the NRCC on all logistics actions and operational activities.

**Disaster Logistics Plans and Exercises** develops and provides cohesive and synchronized logistics plans and exercises to achieve both short- and long-term readiness requirements.

**Department of Homeland Security  
Federal Emergency Management Agency  
Recovery  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Recovery**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	(192)	(183)	(22,950)
<b>2013 Current Services</b>	<b>420</b>	<b>398</b>	<b>55,423</b>
<b>2013 Total Requested Budget Authority</b>	<b>420</b>	<b>398</b>	<b>55,423</b>
Total Change 2012 to 2013	420	398	55,423

FEMA requests \$55.423 million, 420 positions, and 398 FTE in the Recovery PPA.

- Increase of \$0.124 million for pay inflation
- Decrease of \$22,514 million, 192 positions, and 183 FTE transferred to the ARO PPA for recovery efforts conducted in the regions by the Regional Administrators
- Decrease of \$0.56 million transferred to the Response PPA for the Declarations Unit move from the Recovery Directorate to the ORR Front Office

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Recovery mission supports individuals and communities affected by disasters of all sizes, including catastrophic events and terrorist attacks, in their efforts to recover.

**1) Recovery Directorate**

The Recovery Directorate provides program oversight for disaster assistance averaging more than \$8.0 billion annually. The Recovery Directorate oversees Federal disaster assistance programs; manages resources for readiness and recovery capability development; develops recovery strategies, policies, and doctrine for delivering assistance; plans for catastrophic events and continuity of operations; delivers grant assistance for community and individual recovery; and develops and coordinates partnerships.

The Recovery Directorate is also FEMA’s agent in the implementation of the National Disaster Housing Strategy, the National Disaster Recovery Framework (NDRF), the National Catastrophic Infrastructure Recovery Plan, ESF #3 (Public Works and Engineering), ESF #6 (Mass Care,

Emergency Assistance, Housing, and Human Services), and ESF #14 (Long-term Community Recovery).

The following Recovery Directorate programs/functions receive staffing and operating expenses support from the S&E appropriation:

***A. Office of the Assistant Administrator for Recovery***

The Office of the Assistant Administrator provides strategic leadership and direction to support and strengthen Recovery Directorate programs and activities through program analysis and evaluation; policy coordination and analysis; performance measurement and management; development of doctrinal guidance; information management, analysis, and reporting; and internal and external partner coordination and integration.

***B. National Disaster Recovery Planning Division***

The National Disaster Recovery Planning Division strengthens recovery programs and assistance by developing and coordinating national-level plans and exercises, including catastrophic, all-hazards, contingency, COOP, devolution planning; coordinating and leading ESF #14 - Long-term Community Recovery; and supporting FEMA Regional Office recovery planning activities.

The National Disaster Recovery Planning Division also is responsible for leading the development, implementation, and other activities associated with the NDRF. The NDRF describes the concepts and principles that guide recovery efforts in response to large-scale or catastrophic disasters; identifies scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities; and links local, State, tribal and Federal governments, the private sector, and voluntary, faith-based, and community organizations that play vital roles in recovery.

***C. Public Assistance Division***

PA Division programs provide assistance to tribal, State, and local governments, and certain nonprofit organizations to alleviate suffering and hardship resulting from major disasters or emergencies declared by the President. The S&E appropriation funds PA full-time permanent employees, plus operating expenses for consistent implementation and management of PA programs including development and maintenance of policies and doctrine, planning, training development and delivery, technology sustainment, and outreach to improve integration and coordination. PA programs provide reimbursement for debris removal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain private nonprofit organizations, funded by the DRF. These programs provide not less than 75-percent Federal cost-share reimbursement to States for actual costs.

***D. Individual Assistance Division***

IA Division ensures that disaster survivors have timely access to a full range of programs and services to maximize their recovery, through coordination among Federal, tribal, State, and local governments, voluntary agencies, and the private sector. IA programs and functions are executed under Sections 403, 408, 410, 415, 416, 425, and 426 of the Stafford Act and funded by the DRF. The S&E

appropriation funds all IA full-time permanent employees, plus operating expenses for consistent implementation and management of IA programs including development and maintenance of policies and doctrine, planning, training development and delivery, technology sustainment, and outreach to improve integration and coordination among Federal, tribal, State, and local governments, voluntary agencies, and the private sector.

#### ***E. National Processing Service Centers***

NPSCs are a key component of the Agency's ability to support survivors' resilience to disaster through recovery programs. The NPSCs are FEMA's full-service disaster assistance processing and solution centers responsible for: registering individuals for assistance by phone and via the Internet; verifying home and personal property losses through onsite inspections; processing applicant registrations to determine and communicate assistance eligibility; and responding to applicant questions by phone (and mail) throughout the disaster assistance process. Funding from the M&A appropriation supports approximately 300 full-time positions in the NPSCs as well as other activities, such as technology requirements needed to maintain call centers, equipment, and training.

#### ***F. Business Management Division***

The Business Management Division (BMD) provides the Recovery Directorate coordination of technology solutions, contracting, facility and asset management, financial management and contract closeouts, human resources support, training, and cadre management. Activities focus on improving efficiency, building sustainable business and workforce capabilities, supporting the implementation and modernization of service delivery with cost-effective technology systems and solutions, and effecting coordination with MSB and OFO to enable successful execution of Recovery programs and delivery of services.

**Department of Homeland Security  
Federal Emergency Management Agency  
Mitigation  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Mitigation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	(107)	(102)	(16,565)
<b>2013 Current Services</b>	<b>76</b>	<b>72</b>	<b>27,110</b>
<b>2013 Total Requested Budget Authority</b>	<b>76</b>	<b>72</b>	<b>27,110</b>
Total Change 2012 to 2013	76	72	27,110

FEMA requests \$27.110 million, 76 positions, and 72 FTE in the Mitigation PPA.

- Increase of \$0.023 million for pay inflation.
- Decrease of \$13.012 million, 107 positions, and 102 FTE transferred to the ARO PPA for mitigation efforts conducted in the regions by the Regional Administrators.
- Decrease of \$3.576 million for a one-time programmatic increase in the FY 2012 Enacted Salaries and Expenses appropriation for mitigation programs.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Federal Insurance and Mitigation Administration (FIMA) creates safer communities by reducing loss of life and property and preventing potential disaster losses. This is accomplished through three core competencies and one support activity: analyzing risk through identification and assessment; reducing risk through land use, building codes, and the Hazard Mitigation Grant Program; environmental planning and historic preservation; and, the regional and disaster support activity.

These core competencies and support activity work jointly to reduce the likelihood of future losses, to enable individuals to recover more rapidly from floods and other disasters, and to minimize the financial impact of disasters on the U.S. Treasury, States, and local and tribal communities.

**1) National Dam Safety Program (NDSP)**

As a critical element of the Nation’s infrastructure, dams bring water, power, flood control, recreation, economic possibilities, and many other advantages to people. Safe operations and maintenance are critical to sustaining these advantages and avoiding potential disaster. Since 1998, the recorded

number of deficient dams (those with structural or hydraulic deficiencies, leaving them susceptible to failure) has risen by 85 percent—from 1,818 to 4,095. While federally owned dams are in good condition, and there have been modest gains in repair, the number of dams identified as unsafe is increasing at a faster rate than those being repaired. The number of high-hazard potential dams (dams whose failure would cause loss of human life) is increasing dramatically. Since 1998, the number of high-hazard-potential dams has increased from 9,281 to 13,000 in 2009.

FEMA's role in addressing this problem is to aid States and communities in recognizing their risk and developing plans to mitigate that risk as the lead Federal agency for NDSP. FEMA coordinates efforts through collaborative partnerships between States, Federal agencies, and private sector and other stakeholders to secure the safety of these dams through research, training, and public awareness. The NDSP provides financial assistance to States' dam safety programs to support dam safety activities including:

- Inspecting and monitoring dams.
- Training dam safety staff and inspectors.
- Data analysis and research to support the improvement of State Dam Safety Programs.
- Preparation of Emergency Action Plans.
- Public awareness campaigns aimed at both the public and emergency management on the risks associated with dam failure.

The FY 2013 budget request includes a performance-based approach for evaluating State performance that ultimately will afford us the opportunity to allocate grant funds based on State performance versus a funds distribution based on the number of regulated dams in each State.

## **2) National Earthquake Hazards Reduction Program (NEHRP)**

Congress established NEHRP in 1977, and authorized the member agencies to conduct research on the causes and effects of earthquakes, produce technical guidance to develop earthquake resistant design and construction standards, and develop techniques to educate the public about earthquake hazards and mitigation.

Ongoing efforts to support the creation and maintenance of disaster-resistant building codes and standards is a major focus of the NEHRP and is an important factor in reducing the losses from major U.S. earthquakes over the past 30 years.

Areas such as the New Madrid seismic zone in the central United States remain more vulnerable to extensive damage cause by earthquakes than other parts of the country, particularly the western United States. This is because western States adopted seismic building codes much earlier than those in the central United States did. Currently, Arkansas (adopted 2006); Indiana (adopted 2006), Mississippi (adopted 2003) and Tennessee (adopted 2006) have adopted statewide seismic building codes. Illinois and Missouri have not adopted statewide seismic codes, however many jurisdictions in those States have adopted them. State and local jurisdictions need to do more to improve the earthquake resistance of buildings and infrastructure in this part of the Nation.

Each year, approximately 3,000 to 4,000 earthquakes strike our Nation. FEMA, along with partners from the U.S. Geological Survey, the National Institutes of Standards and Technology and the National Science Foundation, works to help communities identify earthquake risk and develop plans for

reducing those risks. Specifically, NEHRP manages initiatives that reduce the risk to life and property from earthquakes, including the following:

- Translating research into technical guidance publications and best practices on seismic safety, building design and construction, building codes and standards, and reducing economic losses.
- Assisting State and local governments in building capabilities for determining potential damage and reducing the effects of earthquakes before they occur.
- Working with national codes and standards organizations to develop and improve seismic building standards.

### **3) Building Science Program**

Building Science Program develops mitigation guidance that focuses on creating disaster-resilient communities. The program's mitigation activities include:

- Acting as a Technical Services Bureau for FIMA and FEMA for the development and maintenance of over 100 technical manuals regarding evaluation, design, and construction standards for multiple hazards which are used by builders and building owners, designers, and local officials.
- Assessing structural resiliency in post-disaster environments through immediate deployment of mitigation assessment teams following disasters.
- Developing timely publications, guidance materials, tools, technical bulletins, and recovery advisories that incorporate the most up-to-date building codes, floodproofing requirements, and wind-resistant requirements for new construction or repairing existing buildings.
- Supporting the development and adoption of disaster-resistant model building codes and standards.
- Furthering development of the Risk Management Series for all-hazards mitigation.
- Providing building science technical support for NFIP and Hazard Mitigation Assistance programs.
- Providing building science technical support to public and private sector stakeholders.

### **4) Environmental Planning and Historic Preservation**

FEMA's Office of Environmental Planning and Historic Preservation (OEHP), located within FIMA, manages FEMA's responsibilities to be stewards of the natural and cultural environment and related compliance with all environmental planning and historic preservation laws, executive orders, and regulations across all FEMA programs. OEHP helps build a unity of effort across the emergency management team as it relates to EHP issues and requirements, and specifically, the OEHP is the functional authority on environmental planning and historic preservation (EHP), and oversees the development of all EHP regulations and policy, systems, human capital (including the EHP Disaster Workforce), outreach, and performance management aspects of these requirements. OEHP's mission is to help communities reduce the impact that disasters and emergency management decisions and operations have on the Nation's natural and cultural resources.

- OEHP also works closely with FEMA Directorates and Program Offices to provide technical assistance in integrating these stewardship responsibilities into program decision-making and implementation, and how to use the EHP process to further the Whole Community objectives



of stakeholder engagement and collaboration as part of the decision-making process. The EHP Strategic Plan, FY 2009-2013, has three major goals: build sustainable capabilities; strengthen operational effectiveness; and strengthen EHP partnerships.

## **5) Regional and Disaster Support Branch**

Regional and Disaster Support Branch works to define and manage FIMA's role in FEMA's response and recovery operations as well as to ensure regional integration into National programmatic issues. This responsibility requires the R&DS design consensus-based solutions to prepare the disaster workforce to consistently deliver program and technical assistance to affected local governments and disaster applicants, along with facilitating Regional input regarding crosscutting initiatives. The main goals of Regional and Disaster Support are:

- Translate Headquarters programs and initiatives into tools and resources to equip the Hazard Mitigation Disaster Workforce with standards, training, and job aides to consistently deliver hazard mitigation assistance in the disaster setting, and to further the efforts of FIMA programs
- Build and facilitate a National network of Regional Managers to effectively integrate FIMA's performance
- Coordinate FIMA disaster operations, National disaster policy analysis, and crosscutting program and administrative issues in support of the Regions and the Disaster Field organization

## **6) FIMA Mission Support Activities**

FIMA's mission support activities include management and oversight of Agency programs, business operations support, stakeholder engagement and outreach support, business process management and improvement activities, and information systems support activities.

**Department of Homeland Security  
Federal Emergency Management Agency  
Mission Support  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Mission Support**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	(238)	(225)	(66,627)
<b>2013 Current Services</b>	<b>857</b>	<b>815</b>	<b>152,806</b>
<b>2013 Total Requested Budget Authority</b>	<b>857</b>	<b>815</b>	<b>152,806</b>
Total Change 2012 to 2013	857	815	152,806

FEMA requests \$152.806 million, 857 positions, and 815 FTE in the Mission Support PPA.

- Increase of \$0.272 million for pay inflation
- Decrease of \$29.995 million, 238 positions, and 225 FTE transferred to the ARO PPA for mission support functions conducted in the regions by the Regional Administrators
- Decrease of \$13.662 million for a one-time programmatic increase in the FY 2012 Enacted Salaries and Expenses appropriation for IT modernization
- Decrease of \$0.5 million for a one-time programmatic increase in the FY 2012 Enacted Salaries and Expenses appropriation for unaccompanied minor registration
- Decrease of \$5.0 million for a one-time programmatic increase in the FY 2012 Enacted Salaries and Expenses appropriation for facilities repair.
- Decrease of additional \$2.54 million in the facilities repair program based on a new prioritization and ranking program
- Decrease \$1.19 million in information/telecommunications based on consolidation, prioritization, and needs analysis
- Decrease of \$0.6 million in the storage tank program plan
- Decrease of \$13.41 million for software licenses and data center O&M transferred to the DHS Working Capital Fund in the Centrally Managed Accounts PPA

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Mission Support Bureau (MSB) supports all facets of the Agency mission by providing strategic leadership to and assuring the timely, efficient, and effective delivery of administrative, property management, health and safety, human capital, IT, procurement, security services, and business

function capabilities. This community of capabilities supports the entire FEMA enterprise of mission activities that range from performing US&R; to taking in and managing requests for IA and PA grants; to approving and paying those grants; to managing flood insurance policies for the Nation's citizens.

The functional responsibilities of each MSB Office are detailed below.

## **1) The MSB Executive Office (MSB EO)**

MSB EO provides primary strategic oversight to and is focused on integrating activities within and seeking efficiencies among the five MSB component Offices. Additionally, specific EO responsibilities include the functions of the Component Acquisition Executive; coordinating administrative, human capital, and acquisition needs in FEMA's 10 Regional Offices; oversight of MSB-wide business process improvements; establishing and maintaining a highly responsive enterprise customer assurance capability; coordinating cross-Bureau COOP planning; and managing and overseeing basic administrative functions and activities.

## **2) The Office of the Chief Administrative Officer (OCAO)**

OCAO provides critical support to FEMA's mission through a full range of administrative and management services, including real and accountable property management; occupational safety, health and environmental programs; records management; printing and graphics support services; fleet support and management; support to Freedom of Information Act (FOIA) requests; and privacy protection to programs, partners, and stakeholders. In addition, OCAO is responsible for supporting MSB strategic and operational planning activities by providing assistance to all offices within the Bureau for the development and implementation of operational and tactical program-level plans that support FEMA and MSB strategic direction.

The portfolio of OCAO includes the Support Services and Facilities Management Division (SSFMD); the Occupational Safety, Health, and Environment (OSHE) Division; and the Records Management Division.

The **Support Services and Facilities Management Division** is responsible for managing real property and accountable personal property, products, services, and solutions, to include the acquisition, leasing, repair, maintenance, and disposal of fixed and temporary facilities, and inventory management of accountable personal property. SSFMD manages space optimization planning, furniture acquisition, public benefit conveyance, facilities support services, and the transit subsidy program. In addition, the Division provides or coordinates critical mission support services, such as mail management, graphic/multimedia support, publications ordering/shipment, fleet management, and printing for both steady-state and disaster support operations.

The **Occupational Safety, Health, and Environment Division** provides leadership, oversight, guidance, and support to ensure the protection of all FEMA employees and programs nationwide, through a Whole Community readiness approach which emphasizes the protection of operations, affected communities, and responding partners to reduce injuries and minimize loss of life by supporting both steady-state and disaster response operations, including the NIRT, the DEST, and IMATs. Divisional responsibilities are accomplished through an array of specific programs (such as

maintaining readiness of the National Safety and Health Cadre), planning and preparedness exercises, training programs (such as Collateral Duty Safety Officer and Safety Manager Training), evaluations, employee wellness and medical readiness, pre- and post-deployment operations; operational assessments, and compliance verification activities (such as Management Evaluation Technical Assistance Reviews, Life Safety and Environmental Regulatory Compliance Reviews).

The **Records Management Division and Privacy Office** administer statutory programs that include Records Management, Privacy Act, FOIA, Information Quality Act, Paperwork Reduction Act (PRA), and Federal Advisory Committee Act (FACA). These programs administratively support programs such as Correspondence Management, Forms Management, Directives Management, Research Service, and the National Archives and Records Administration (NARA) Reimbursable Program. They also administer the enterprise systems for the collection, preservation, management, safeguarding of records, correspondence, and historical research material.

### **3) The Office of the Chief Component Human Capital Officer (OCCHCO)**

OCCHCO recognizes that its first priority is to support FEMA's mission. As a strategic partner of leadership at all levels, OCCHCO implements and improves human capital (HC) programs that help the workforce achieve goals and meet future challenges. The OCCHCO HC goal is to provide a blueprint for the future, to ensure that the Agency hires and retains the people with the right skills to excel in meeting current and future challenges. Successful recruiting, training, career management, compensation, promotion management, performance management, and leadership all contribute toward growing a competent and diverse workforce. Through the OCCHCO strategic management of HC, FEMA will:

- Conduct workforce planning, prioritize and invest in closing skill gaps, align performance with strategic goals, and fully engage its employees in strengthening the workforce.
- Leverage existing technology and pursue new technology throughout the Agency to develop, implement, and manage HC strategies and services in partnership with OCIO and OCFO, and other entities.
- Systematically plan, measure, evaluate, and improve HC programs to achieve organizational results, legal and regulatory compliance, and taxpayer value.

Overall, provides leadership and direction to all agency stakeholders, including FEMA headquarters, regional offices, and interagency partners on HC programs, products, and services. It is responsible for the development and management of policies, programs, and activities designed to ensure the strategic management of the Agency's human capital assets. It is responsible for ensuring that the strategic management of human capital is integrated into all aspects of the Agency's operations. It also ensures compliance with Merit System Principles, Federal human resources (HR) laws, rules, and regulations; and manages the Administrator's Priority Workforce Enhancement Initiative.

OCCHCO programs and functions are organized across the following four divisions: the Workforce Effectiveness Division, Headquarters Operations Division, Field Operations Division, and Workforce relations Division. These divisions are supported by the OCCHCO Executive Resources Branch, OCCHCO Administrative Staff, the Career Development and Training Office, and the HR Information System Branch. All four divisions and supporting offices and branches work together in a unified and

integrated effort to retain, develop, and motivate FEMA's multifaceted employee workforce to reach its fullest potential.

#### **4) The Office of the Chief Information Officer (OCIO)**

OCIO supports FEMA's mission by maintaining and enhancing the Agency's IT infrastructure, and developing and enhancing key systems to support operating programs. The requested funding supports the mission by building, sustaining and improving the capabilities that provide operations and maintenance support for 90 applications; afford IT governance and administrative support for programs and offices; and deliver IT services (including information security, Internet, telecommunications, and desk-side technical help), support, and oversight across the enterprise which includes more than 20 fixed locations, over 9,000 employees, and during an event can include up to 25,000 employees, who support our citizens and first responders. Funding supports plans to build on its FY 2010 and 2011 successes of consolidating two data centers (SAVVIS and Plano, Texas) into the DHS Enterprise Data Center in southern Virginia. Funding also supports plans to improve management effectiveness by seeking cost-effective, reliable, secure, and innovative solutions through which to continue to deliver the Agency's services to Nation's citizens and first responders. Our IT initiatives are closely aligned with those who carry out the Agency's mission and with the broader framework provided by the President's Management Agenda, and relevant legislation and guidance.

To continue to ensure the sustained viability and resiliency of IT capabilities, we will continue to work toward the migration of applications from the Mount Weather facility and two other commercial data centers that are currently hosting FEMA mission support applications. OCIO will continue to take advantage of IT services offered at the DHS-enterprise level, such as email and internet collaboration services, that will improve capabilities and reduce costs. The OCIO is comprised of two divisions: the Operations Division and the Administration Division.

##### ***A. OCIO Operations Division***

The Operations Division provides IT services and capabilities to FEMA, other Federal Agencies, and State and local governments in support of our mission by building, sustaining, and improving our information systems, networks, and IT service centers. It provides leadership and guidance in conducting and maintaining IT enterprise infrastructure and for the management, design, development, acquisition, integration, and implementation of critical infrastructure products and systems, and assists in maintaining the CIO goals and standards. The Operations Division manages Operations Support, Software Development and Integration, Architecture, Engineering, and Enterprise Services, Regional Support, and IT Security.

The **Operations Support Branch** provides day-to-day operation, maintenance, control and security of the FEMA enterprise from headquarters sites thru the regions and including the extension of the enterprise into disaster field offices and sites.

The **Systems Development and Integration Branch** funding provides the establishment of leadership and support for the direction, design, development, testing and fielding of applications, systems, and infrastructure. Additionally, funding pays for the management of successful delivery of IT projects, such as efforts to improve the National Mass Evacuation Tracking System and Direct Assistance Replacement Assistance Consideration within scope, budget, and on schedule, using

leading-edge technologies, and Project Management Institute best practices coupled with world-class vendors obtained through innovative contract vehicles. The funding ensures that system development efforts follow the DHS systems engineering lifecycle and FEMA guidance to ensure the sustainability of projects.

The **Architecture, Engineering, and Enterprise Services Branch** is responsible for:

- Design and documentation of architectural blueprints and Information Communication Technology (ICT) infrastructure business plans
- Analyses of business requirements for planning future business direction, and evaluating current organizational position-benchmarking/maturity assessment
- Supporting the design and implementation of technical plans
- Improving business processes and automation

The **Regional Support Branch** serves as liaison between OCIO and regions providing oversight, first responder functionality, and comprehensive support to regional IT and various satellite facilities in order to improve coordination, standardization, uniformity, and operational compliance.

The **Information Technology Security Branch** provided management and control of all aspects of security vulnerabilities in our 90 systems, including:

- Conducting incident investigation, diagnosis, resolution, recovery and closure
- Establishing and maintaining security education and training programs
- Overseeing inspections, assessments, and assistance to our organizations, including the conduct and verification of security certification and accreditation activities
- Providing expertise as the OCIO agency expert on all computer security issues
- Providing the resources that direct the IT security program, which involves establishing and enforcing thorough and in-depth technical standards and procedures for security policy and ensuring adherence to laws and policy

#### ***B. OCIO Administration Division:***

OCIO Administration provides leadership and oversight to establish and direct the underlying business processes and functions necessary to effect efficient operations throughout the OCIO and supported missions across FEMA. Funding requested by the Administration Division is used to manage Independent Verification and Validation, Customer Advocates, Governance and Investment Integration, and Business Operations.

### **5) The Office of the Chief Procurement Officer (OCPO)**

OCPO provides a full range of acquisition services and business solutions to all FEMA programs, partners, and stakeholders, in support of both steady state and disaster activities and operations. OCPO ensures quality contracting in a timely manner, and delivers acquisition services using the most efficient and effective means possible, by:

- Providing pre- and post-award contracting and acquisition support to our customers which ensures stewardship of public funds by following the Federal acquisition regulations and the tenets of best practices in acquisition
- Conducting acquisition oversight and monitoring of internal controls pertinent to the

- acquisition process to detect and prevent fraud, waste, and abuse of acquisition resources
- Updating, maintaining, and providing access to electronic procurement systems, to ensure uniform as well as statutory and regulatory-compliant contract documents
- Improving the delivery of sound acquisition and business solutions and increasing the number of strategic sourcing opportunities
- Providing program management oversight and inventorying of acquisition programs, ensuring that acquisition lifecycle oversight complies with FEMA/DHS policies
- Conducting acquisition investment reviews

#### **A. Acquisition Operations Division**

The Acquisition Operations Division awards, modifies, and provides life-cycle oversight of acquisitions for both steady state and disaster/contingency requirements. Additionally, the Division coordinates and collaborates closely with program customers to develop and execute quality and timely acquisition solutions that fully support mission requirements.

#### **B. Acquisition Program and Planning Division**

The Acquisition Program and Planning Division educates and equips customers and stakeholders with the innovative tools, resources, and business solutions they need to make sound acquisition and business management decisions. The Division works with organizations and acquisition professionals to develop requirements and effective acquisition strategies, to include exploring opportunities for strategic sourcing; conducting acquisition portfolio reviews; providing acquisition guidance, governance and oversight of programs and the Acquisition Program Managers and Contracting Officer's Technical Representatives tiered training programs; and conducting extensive market research with industry through vendor outreach in a continuing effort to minimize contract risk and maximize the execution of FEMA's mission throughout the acquisition lifecycle.

#### **C. Acquisition Policy and Legislation Division**

The Acquisition Policy and Legislation Division informs contracting officers and contract specialists of existing acquisition policies and procedures that affect the way they do business; conducts special acquisition programs that directly support FEMA's mission; identifies and provides acquisition training opportunities that ensure currency of acquisition knowledge, skills, and abilities; provides and maintains access to electronic acquisition tools to create, maintain, and report contractual documents; and conducts acquisition oversight activities that monitor acquisition staff performance and that identify and correct internal control deficiencies.

### **6) The Office of the Chief Security Officer (OCSO)**

OCSO provides professional and comprehensive security services, programs, and activities designed to protect FEMA personnel, facilities, information, and equipment, including National security requirements. Security services are designed to support all agency personnel as well as internal and external customers. Policies and procedures are designed to positively affect fixed facilities and disaster operations throughout FEMA theaters of operations.

OCSO is comprised of five operating divisions that are supported by eleven branches.

***A. Field Operations Division (FOD)***

FOD provides and ensures that critical security services are provided at all FEMA disaster sites and special events and supports the Regional Security Officers. FOD coordinates and collaborates closely with disaster and recovery site customers to ensure the safety and security of all employees and assets.

The **Disaster Security Operations Branch** is responsible for ensuring that critical security services are provided at all FEMA disaster sites and special event assignments.

The **Regional Security Operations Branch** is responsible for supporting regional security operations through the Regional Security Officers.

***B. Support Operations Division:***

The Support Operations Division is responsible for the Counterintelligence, Information, Industrial, Operations, and Physical Security Programs, as well as the Identity Credential, Access Management, and HSPD-12 programs, including policies and procedures.

The **Asset Protection Branch** is responsible for the Physical Security Program including implementing policies and procedures for the protection and safeguarding of FEMA personnel, property, buildings, and facilities.

The **Administrative Security Programs Branch** is responsible for the counterintelligence, Information, Industrial, and Operations Security Programs. It implements policies and procedures for the protection of classified National Security Information and sensitive but unclassified information, the foreign travel and foreign visitors programs, and FEMA's counterintelligence program to prevent hostile or foreign intelligence agents from successfully gathering and collecting intelligence from FEMA.

The **Identity Credential and Access Management Branch** is responsible for the physical access control for all FEMA facilities and HSPD-12 card issuance.

***C. Program Protection Division***

The Program Protection Division is responsible for the oversight of security policies, programs, and established security standards to protect and safeguard the agency's personnel, property, and information to include national security objectives.

The **Special Security Program Branch** is responsible for National Security policy oversight and programs for protecting sensitive classified information received from the Intelligence Community and executing the Sensitive Compartmented Information (SCI) program within FEMA.

The **Personnel Security Branch** is responsible for initiating personnel security and suitability background investigations on all permanent full-time employees, DAEs, local hires, COREs, and contract employees, and for the periodic reinvestigations of applicants and employees.



#### ***D. Fraud and Internal Investigations Division***

The Fraud and Internal Investigations Division is responsible for conducting administrative employee misconduct inquiries and disaster fraud inquiries.

The **Law Enforcement Coordination and Investigation Branch** is responsible for administrative inquiries into employee misconduct, theft of Government property, conducting threat assessments against FEMA employees, investigating and collecting data on reports of suspicious activities under the DHS Suspicious Activity Reporting Program, and providing and coordinating personal protective details and escort functions and security training, and serving as FEMA's liaison to Federal, State, local, and tribal law enforcement agencies and to the FBI Joint Terrorism Task Force.

The **Fraud Prevention & Investigation Branches** identifies, impedes, mitigates, and prevents fraudulent losses of FEMA funds and assets through agency fraud awareness training, comprehensive research, investigation, and recoupment of funds.

#### ***E. Policy and Customer Service Unit (PCSU)***

PCSU provides comprehensive and efficient security solutions through practical policies and procedures ensuring the protection of FEMA personnel, facilities, information, and equipment. The Unit is comprised of three entities: Policy, Customer Service, and Background Compliance.

**Department of Homeland Security  
Federal Emergency Management Agency  
Centrally Managed Accounts  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Centrally Managed Accounts**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	-	-	(13,093)
<b>2013 Current Services</b>	-	-	<b>94,180</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>94,180</b>
Total Change 2012 to 2013	-	-	94,180

FEMA requests \$94.180 million, 0 positions, and 0 FTE in the Centrally Managed Accounts PPA.

- Increase of \$13.41 million for software licenses and data center O&M transferred to the DHS WCF in FY 2013 from the Mission Support PPA.
- Decrease of \$4.7 million for one-time facilities investments required in FY 2012 to achieve a reduced FEMA footprint and rent reductions in FY 2013 and beyond.
- Decrease of \$5.103 million for centrally managed account funded in the FY 2012 Enacted base that will be funded via a transfer from the State and Local Programs appropriation in FY 2013
- Decrease of \$1.5 million in Mount Weather rent to be achieved through relocation of FEMA personnel from Mount Weather to more cost-effective locations.
- Decrease of \$6.4 million in IT enterprise telecom to be realized through management efficiencies.
- Decrease of \$8.3 million in rent to be achieved FEMA-wide through consolidation of facilities to reduce the overall FEMA footprint.
- Decrease of \$0.5 million in transit subsidy benefits resulting from the legislative decrease in the maximum allowed transit subsidy in the National Capital Region.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Centrally managed accounts are critical bills that must be managed at the enterprise level to ensure efficient and effective cost management which includes streamlining cost factors and prompt payment.

Centrally managed accounts include:

- DHS WCF
- Mount Weather WCF contributions

- Rent
- Printing
- Postage
- Mail Operations (DHS Mail Facility Ops)
- Transit Subsidy Benefits
- Federal Protective Service (FPS) Guard Services
- Building Specific Security
- Office of Personnel Management (OPM) Investigations
- Wireless and Wireline Communications
- IT Project Management
- Long Haul (data) Circuits

## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Mount Weather Capital Improvements  
PPA: Preparedness and Protection  
Program Increase: Positions 0, FTE 0, Dollars \$10,000

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	22,000
Program Increase							-	-	10,000
<b>Total Request</b>	-	-	<b>12,000</b>	-	-	<b>12,000</b>	-	-	<b>32,000</b>

### Description

The MWEOC is a 564-acre Department of Homeland Security facility approximately 64 miles west of Washington, D.C. MWEOC provides the infrastructure necessary to support COOP, Incident Management, classified programs, and other all-hazards activities for multiple Federal Executive Branch D/As. For example, MWEOC hosts the DHS/FEMA HQ COOP site as well as providing space for use by several D/As for their storage, offices, and operations. MWEOC also supports a variety of disaster response and continuity missions. It is a hub for our Nation's emergency response activities.

### Justification

MWEOC is in the middle of a massive infrastructure upgrade to renovate or replace antiquated buildings, truly transforming the complex into a modern facility capable of supporting the necessary technology and associated bandwidth required by today's Federal D/A tenants. This 2013 initiative will specifically allow for the rebuilding and repairing of critical IT infrastructure and continued capacity enhancements for space associated with Federal COOP efforts.

**Department of Homeland Security  
Federal Emergency Management Agency  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Elimination of the Pre-positioned Equipment Program  
PPA: Urban Search and Rescue Response System  
Program Decrease: Positions 0, FTE 0, Dollars \$(6,233)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Decrease							-	-	(6,233)
<b>Total Request</b>	-	-	<b>6,968</b>	-	-	<b>6,233</b>	-	-	<b>(6,233)</b>

**Description**

The Pre-positioned Equipment Program is a program to pre-position standardized emergency equipment to sustain and replenish critical assets used by State, local, and tribal governments in response to (or rendered inoperable by the effects of) natural disasters, acts of terrorism, and other man-made disasters.

**Justification**

In December 2011, FEMA initiated a bottom-up review (BUR) of the Pre-positioned Equipment Program to assess the validity of the program based on capital investments versus deployments of the Pre-positioned Equipment Program caches. The BUR analysis of the historical data indicates that the pre-positioned equipment resources have not been utilized since 2005 for disaster response and the return on investment has not been realized. Based on the BUR analysis, FEMA proposes to fully eliminate the Pre-Positioned Equipment Program in FY 2013.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

**Department of Homeland Security  
Federal Emergency Management Agency  
Appropriation Language**

For necessary expenses of the Federal Emergency Management Agency, [\$895,350,000] \$789,172,000, including activities authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), the Cerro Grande Fire Assistance Act of 2000 (division C, title I, 114 Stat. 583), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), the Defense Production Act of 1950 (50 U.S.C. App. 2061 et seq.), sections 107 and 303 of the National Security Act of 1947 (50 U.S.C. 404, 405), Reorganization Plan No. 3 of 1978 (5 U.S.C. App.), the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.), and the Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295; 120 Stat. 1394): *Provided*, That not to exceed \$2,500 shall be for official reception and representation expenses: [*Provided further*, That the Administrator of the Federal Emergency Management Agency may reprogram funds made available under this heading between programs, projects, and activities prior to April 16, 2012, notwithstanding section 503 of this Act: *Provided further*, That \$1,400,000 of the funds available for the Office of the Administrator of the Federal Emergency Management Agency shall not be available for obligation until the Administrator of the Federal Emergency Management Agency submits to the Committees on Appropriations of the Senate and the House of Representatives the National Preparedness Report required by Public Law 109-295 and a comprehensive plan to implement a system to measure the effectiveness of grants to State and local communities in fiscal year 2012: *Provided further*, That for purposes of planning, coordination, execution, and decision making related to mass evacuation during a disaster, the Governors of the State of West Virginia and the Commonwealth of Pennsylvania, or their designees, shall be incorporated into efforts to integrate the activities of Federal, State, and local governments in the National Capital Region, as defined in section 882 of the Homeland Security Act of 2002 (Public Law 107-296):] *Provided further*, That of the total amount made available under this heading, [\$41,250,000] \$27,513,000 shall be for the Urban Search and Rescue Response System, of which [not] *no funds* [to exceed \$1,600,000] *no funds* may be made available for administrative costs[; \$5,493,000 shall be for the Office of National Capital Region Coordination; not to exceed \$12,000,000]: *Provided further*, *That, of the total amount made available under this heading, \$22,000,000 shall remain available until September 30, [2013] 2014, for capital improvements and other expenses related to continuity of operations at the Mount Weather Emergency Operations Center[; and not less than \$13,662,000 shall be for expenses related to modernization of automated systems: *Provided further*, That the Administrator of the Federal Emergency Management Agency, in consultation with the Department of Homeland Security Chief Information Officer, shall submit to the Committees on Appropriations of the Senate and the House of Representatives a strategic plan, not later than 180 days after the date of enactment of this Act, for the funds specified in the preceding proviso related to modernization of automated systems, that includes--]*

[(1) a comprehensive plan to automate and modernize information systems to resolve current inefficiencies, integrate data, and aid in better] [performance of executing the Agency-wide mission;]

[(2) a description of the appropriations for each project and activity tied to mission requirements and outcomes, program management capabilities, performance levels, and specific capabilities and services to be delivered;]

[(3) the total estimated cost and projected timeline of completion for all multi-year enhancements, modernizations, and new capabilities proposed and underway covering a period] [of no less than 3 years;]

[(4) a detailed accounting of operations and maintenance and contractor services costs; and]

[(5) the current or planned acquisition programs including--]

[(A) how the programs align to mission requirements by defining existing capabilities, identifying known capability gaps between such existing capabilities and stated mission requirements, and explaining how each increment will address a known capability gap;]

[(B) how programs provide quantifiable information that aids in understanding national emergency management capabilities;]

[(C) how programs ensure information sharing among homeland security partners; and]

[(D) life-cycle costs for all acquisitions.]

## B. FY 2012 to FY 2013 Budget Change

### Department of Homeland Security Federal Emergency Management Agency FY 2012 to FY 2013 Budget Change (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	-
FY 2012 Enacted Budget Authority	4,497	4,271	987,128
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Transfer in from Mission Support PPA	-	-	13,410
Transfer in from Recovery PPA	-	-	560
Transfer in from other PPAs	817	765	100,540
Transfer out (SALP post-enactment transfer)	(726)	(681)	(137,155)
Transfer out to Administrative and Centrally Managed Accounts PPA	-	-	(13,410)
Transfer out to Administrative and Regional Offices PPA	(817)	(765)	(100,538)
Transfer out to Response PPA	-	-	(560)
<b>Total, Transfers</b>	<b>(726)</b>	<b>(681)</b>	<b>(137,153)</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	-	-	1,195
Reduction in FTE to absorb pay inflation	-	(14)	-
<b>Total, Increases</b>	<b>-</b>	<b>(14)</b>	<b>1,195</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Management and Technology Efficiencies	-	-	(30,890)
Termination of one-time costs	-	-	(34,875)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(65,765)</b>
<b>Total, Adjustments-to-Base</b>	<b>(726)</b>	<b>(695)</b>	<b>(201,723)</b>
<b>FY 2013 Current Services</b>	<b>3,771</b>	<b>3,576</b>	<b>785,405</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Mount Weather capital improvements	-	-	10,000
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>10,000</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Elimination of the Prepositioned Equipment Program	-	-	(6,233)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(6,233)</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>3,767</b>
<b>FY 2013 Requested Budget Authority</b>	<b>3,771</b>	<b>3,576</b>	<b>789,172</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(726)</b>	<b>(695)</b>	<b>(197,956)</b>

<sup>1</sup>The amounts for M&A in FY 2011 include \$129,052 transfers from SALP, AFG, and the DRF. The FY 2013 current services and request do not include such transfers.

<sup>2</sup>The amount reflected in the FY 2012 includes P.L. 112-74 directed transfer of \$91,788 from SALP.

<sup>3</sup>The FY 2011 Actual figures include positions and FTE funded through transfer for SALP and AFG personnel. FY 2012 figures include positions and FTE funded through SALP transfer. The positions and FTE for both SALP and AFG personnel for FY 2013 will be reflected and funded in SALP appropriation CJ.



**Department of Homeland Security  
 Federal Emergency Management Agency  
 Management and Administration  
 FY 2012 to FY 2013 Budget Change  
 (Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	4,211	3,822	1,101,274

1 The amounts for M&A in FY 2011 include \$129,052 transferred from SALP, \$46,886 transferred from AFG, and \$105,389 transferred from the DRF. The FY 2013 current services and request do not include such transfers.

2 Per DHS guidance, the FY 2012 Base is pursuant to FY 2011 enacted levels (less .2% rescission) in P.L. 112-10 C.R. The amount reflected does not include any potential transfers.

3 FY 2011 Actual figures include positions and FTE funded through transfer for 560 SALP M&A personnel, 60 AFG M&A personnel, and 872 M&A personnel historically funded with DRF transfer into the M&A appropriation. The positions and FTE for the SALP and AFG M&A personnel for FY 2012 Base and FY 2013.

**C. Summary of Requirements**

**Department of Homeland Security  
Federal Emergency Management Agency  
Summary of Requirements  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	-	-	-
<b>FY 2012 Enacted Budget Authority</b>	<b>4,497</b>	<b>4,271</b>	<b>987,128</b>
<b>Adjustments-to-Base</b>	-	-	-
Transfers	(726)	(681)	(137,153)
Increases	-	(14)	1,195
Decreases	-	-	(65,765)
<b>Total, Adjustments-to-Base</b>	<b>(726)</b>	<b>(695)</b>	<b>(201,723)</b>
<b>FY 2013 Current Services</b>	<b>3,771</b>	<b>3,576</b>	<b>785,405</b>
<b>Program Changes</b>	-	-	-
Increases	-	-	10,000
Decreases	-	-	(6,233)
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>3,767</b>
<b>FY 2013 Requested Budget Authority</b>	<b>3,771</b>	<b>3,576</b>	<b>789,172</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(726)</b>	<b>(695)</b>	<b>(197,956)</b>

Estimates by Program /Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Centrally Managed Accounts	-	-	107,273	-	-	(13,093)	-	-	-	-	-	94,180	-	-	(13,093)
Recovery	612	581	78,373	(192)	(183)	(22,950)	-	-	-	420	398	55,423	(192)	(183)	(22,950)
Preparedness and Protection	638	606	175,881	(510)	(482)	(112,728)	-	-	10,000	128	124	73,153	(510)	(482)	(102,728)

<sup>1</sup>The amount reflected in FY 2012 includes P.L. 112-74 directed transfer of \$91,788 from SALP.

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration**  
Summary of Requirements  
(Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	4,211	3,822	1,101,274
FY 2012 Enacted Budget Authority	-	-	-
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	-
Program Changes	-	-	-
Total, Program Changes	-	-	-
FY 2013 Requested Budget Authority	-	-	-
FY 2012 to FY 2013 Total Change	-	-	-

## D. Summary of Reimbursable Resources

### Department of Homeland Security Federal Emergency Management Agency Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Department of Agriculture, DAIP	-	-	573	-	-	1,011	-	-	1,011	-	-	-
Department of Commerce, DAIP	-	-	34	-	-	60	-	-	60	-	-	-
Department of Defense	-	-	263	-	-	464	-	-	464	-	-	-
Department of Defense, DAIP	-	-	17	-	-	30	-	-	30	-	-	-
Department of Education, DAIP	-	-	47	-	-	83	-	-	83	-	-	-
Department of Health and Human Services	-	-	483	-	-	853	-	-	853	-	-	-
Department of Health and Human Services, DAIP	-	-	110	-	-	195	-	-	195	-	-	-
Department of Homeland Security	-	-	1,418	-	-	2,503	-	-	2,503	-	-	-
Department of Homeland Security, CPB	-	-	410	-	-	723	-	-	723	-	-	-
Department of Homeland Security, OCIO	-	-	868	-	-	1,533	-	-	1,533	-	-	-
Department of Homeland Security, OPO	-	-	6,373	-	-	11,250	-	-	11,250	-	-	-
Department of Housing & Urban Development, DAIP	-	-	74	-	-	130	-	-	130	-	-	-
Department of Interior	-	-	28	-	-	50	-	-	50	-	-	-
Department of Interior, DAIP	-	-	24	-	-	42	-	-	42	-	-	-
Department of Justice	-	-	51	-	-	90	-	-	90	-	-	-
Department of Justice, DAIP	-	-	54	-	-	96	-	-	96	-	-	-
Department of Labor, DAIP	-	-	233	-	-	411	-	-	411	-	-	-
Department of Treasury, DAIP	-	-	74	-	-	130	-	-	130	-	-	-
Department of Veterans Affairs, DAIP	-	-	110	-	-	194	-	-	194	-	-	-
Office of Personnel Management, DAIP	-	-	24	-	-	42	-	-	42	-	-	-
Small Business Administration, DAIP	-	-	263	-	-	465	-	-	465	-	-	-
Social Security Administration, DAIP	-	-	104	-	-	183	-	-	183	-	-	-
US Army Corp of Engineers	-	-	33	-	-	58	-	-	58	-	-	-
US Coast Guard	-	-	1,983	-	-	3,500	-	-	3,500	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>13,651</b>	-	-	<b>24,096</b>	-	-	<b>24,096</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project/Activity:</b>												
Administrative and Regional Offices	-	-	9,970	-	-	17,702	-	-	17,702	-	-	-
Centrally Managed Accounts	-	-	1,184	-	-	1,422	-	-	1,422	-	-	-
Mission Support	-	-	1,810	-	-	4,149	-	-	4,149	-	-	-
Preparedness and Protection	-	-	485	-	-	581	-	-	581	-	-	-
Response	-	-	202	-	-	242	-	-	242	-	-	-
<b>Total Obligations</b>	-	-	<b>13,651</b>	-	-	<b>24,096</b>	-	-	<b>24,096</b>	-	-	-

**E. Summary of Requirements By Object Class**  
**Department of Homeland Security**  
**Federal Emergency Management Agency**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	403,521	350,332	(53,189)
12.1 Benefits	-	116,524	101,131	(15,393)
<b>Total, Personnel and Other Compensation Benefits</b>	-	<b>520,045</b>	<b>451,463</b>	<b>(68,582)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	11,384	9,153	(2,231)
22.0 Transportation of things	-	410	402	(8)
23.1 GSA rent	-	32,894	24,594	(8,300)
23.3 Communications, utilities, and misc. charges	-	26,360	19,983	(6,377)
24.0 Printing	-	1,056	966	(90)
25.1 Advisory and assistance services	-	37,831	27,472	(10,359)
25.2 Other services	-	175,860	101,373	(74,487)
25.3 Purchases from Gov't accts.	-	41,331	26,740	(14,591)
25.4 O&M of facilities	-	11,455	3,371	(8,084)
25.7 Operation and maintenance of equipment	-	5,136	4,835	(301)
26.0 Supplies and materials	-	5,147	4,831	(316)
31.0 Equipment	-	27,104	25,387	(1,717)
32.0 Land & structures	-	51,489	47,163	(4,326)
41.0 Grants/Subsidies/Contributions	-	53,624	41,438	(12,186)
<b>Total, Other Object Classes</b>	-	<b>481,082</b>	<b>337,709</b>	<b>(143,373)</b>
<b>Total, Direct Obligations</b>	-	<b>1,001,127</b>	<b>789,172</b>	<b>(211,955)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(13,999)	-	13,999
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(13,999)</b>	<b>-</b>	<b>13,999</b>
<b>Total Requirements</b>	-	<b>987,128</b>	<b>789,172</b>	<b>(197,956)</b>
<b>Full-time Equivalents</b>	-	<b>4,271</b>	<b>3,576</b>	<b>(695)</b>

\* Data is in accordance with U.S. Treasury FACT II. Any variance to MAX data is due to rounding.

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	362,173	-	-	-
11.3 Other than full-time permanent	1,249	-	-	-
11.5 Other personnel compensation	7,487	-	-	-
12.1 Benefits	106,594	-	-	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>477,503</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	16,781	-	-	-
22.0 Transportation of things	528	-	-	-
23.1 GSA rent	44,280	-	-	-
23.2 Other rent	41	-	-	-
23.3 Communications, utilities, and misc. charges	24,721	-	-	-
24.0 Printing	1,303	-	-	-
25.1 Advisory and assistance services	56,677	-	-	-
25.2 Other services	213,673	-	-	-
25.3 Purchases from Gov't accts.	71,885	-	-	-
25.4 O&M of facilities	8,124	-	-	-
25.7 Operation and maintenance of equipment	11,734	-	-	-
25.8 Subsistence & Support of persons	21	-	-	-
26.0 Supplies and materials	7,863	-	-	-
31.0 Equipment	38,860	-	-	-
32.0 Land & structures	79,859	-	-	-
41.0 Grants/Subsidies/Contributions	47,421	-	-	-
<b>Total, Other Object Classes</b>	<b>623,771</b>	-	-	-
<b>Total, Direct Obligations</b>	<b>1,101,274</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,101,274</b>	-	-	-
<b>Full-time Equivalents</b>	<b>3,822</b>	-	-	-

## F. Permanent Positions by Grade

### Department of Homeland Security Federal Emergency Management Agency Permanent Positions by Grade

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES		74	64	(10)
GS-15		376	323	(53)
GS-14		787	664	(123)
GS-13		1,415	1,117	(298)
GS-12		1,182	1,072	(110)
GS-11		326	273	(53)
GS-9		143	96	(47)
GS-8		48	42	(6)
GS-7		104	84	(20)
GS-6		34	30	(4)
GS-5		6	5	(1)
GS-4		2	1	(1)
<b>Total Permanent Positions</b>		<b>4,497</b>	<b>3,771</b>	<b>(726)</b>
Unfilled Positions EOY		-	-	-
Total Permanent Employment EOY		4,497	3,771	(726)
Headquarters		3,318	2,791	(527)
U.S. Field		1,179	980	(199)
<b>Total, SE</b>		<b>4,497</b>	<b>3,771</b>	<b>(726)</b>
<b>Full-time Equivalents</b>		<b>4,271</b>	<b>3,576</b>	<b>(695)</b>
Average ES Salary		160,000	160,800	800
Average GS Salary		97,428	97,915	487
Average Grade		12	12	-

<sup>1</sup>FY 2012 Base figures include positions and FTE funded through SALP transfer. The positions and FTE for both SALP and AFG personnel for FY 2013 will be reflected and funded in SALP appropriation CJ.

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	75			
GS-15	376			
GS-14	788			
GS-13	1,333			
GS-12	1,072			
GS-11	280			
GS-9	93			
GS-8	47			
GS-7	106			
GS-6	32			
GS-5	7			
GS-4	2			
<b>Total Permanent Positions</b>	<b>4,211</b>			
Unfilled Positions EOY	-			
Total Permanent Employment EOY	3,555			
Headquarters	3,040			
U.S. Field	1,171			
<b>Total, Management and Administration</b>	<b>4,211</b>			
<b>Full-time Equivalents</b>	<b>3,822</b>			
Average ES Salary	160,000			
Average GS Salary	99,827			
Average Grade	13			

1 FY 2011 Actual figures include positions and FTE funded through transfer for 560 SALP M&A personnel, 60 AFG M&A personnel, and 872 M&A personnel historically funded with DRF transfer into the M&A appropriation.



## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
Mitigation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	16,973	6,826	(10,147)
12.1 Benefits	-	4,753	1,911	(2,842)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>21,726</b>	<b>8,737</b>	<b>(12,989)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	939	939	-
24.0 Printing	-	156	156	-
25.1 Advisory and assistance services	-	8,193	4,617	(3,576)
25.3 Purchases from Gov't accts.	-	679	679	-
31.0 Equipment	-	236	236	-
41.0 Grants/Subsidies/Contributions	-	11,746	11,746	-
<b>Total, Other Object Classes</b>	-	<b>21,949</b>	<b>18,373</b>	<b>(3,576)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>43,675</b>	<b>27,110</b>	<b>(16,565)</b>
<b>Full-time Equivalents</b>	-	<b>174</b>	<b>72</b>	<b>(102)</b>

### Mitigation Mission Statement

The mitigation mission seeks to reduce or eliminate long-term risks to people and property from hazards and their effects. Mitigation benefits society by creating safer communities, enabling people to recover more rapidly from floods and other disasters, and reducing the financial impact on Federal, State, tribal, and local governments and communities. FEMA's mitigation mission is accomplished through the following basic mitigation business lines: Risk Analysis, Risk Reduction, and Risk Insurance.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	16,973	6,826	(10,147)
12.1 Benefits	-	4,753	1,911	(2,842)
<b>Total, Salaries &amp; Benefits</b>	-	<b>21,726</b>	<b>8,737</b>	<b>(12,989)</b>

Salaries and Benefits includes costs for 72 FTEs. FY 2013 includes a decrease of \$12,989,000 to cover salaries and benefits for 102 FTEs transferred to the Administrative and Regional Offices PPA for mitigation efforts conducted in the regions by the Regional Administrators.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$8,193	\$4,617	-\$3,576

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 includes a decrease of \$3,576,000 for a one-time programmatic increase in the FY 2012 Enacted Salaries and Expenses appropriation for mitigation programs.

**Department of Homeland Security  
Federal Emergency Management Agency  
Response  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	101,359	74,198	(27,161)
12.1 Benefits	-	28,380	20,775	(7,605)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>129,739</b>	<b>94,973</b>	<b>(34,766)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	3,360	2,560	(800)
22.0 Transportation of things	-	46	46	-
23.3 Communications, utilities, and misc. charges	-	1,025	1,025	-
24.0 Printing	-	11	11	-
25.1 Advisory and assistance services	-	2,924	2,924	-
25.2 Other services	-	32,118	25,601	(6,517)
25.3 Purchases from Gov't accts.	-	4,189	4,189	-
25.4 O&M of facilities	-	406	406	-
25.7 Operation and maintenance of equipment	-	336	336	-
26.0 Supplies and materials	-	2,254	2,254	-
31.0 Equipment	-	10,170	10,059	(111)
41.0 Grants/Subsidies/Contributions	-	39,650	27,513	(12,137)
<b>Total, Other Object Classes</b>	-	<b>96,489</b>	<b>76,924</b>	<b>(19,565)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>226,228</b>	<b>171,897</b>	<b>(54,331)</b>
<b>Full-time Equivalents</b>	-	<b>1,056</b>	<b>801</b>	<b>(255)</b>

**Response Mission Statement**

The Response mission seeks to conduct emergency operations to save lives and property through positioning emergency equipment, personnel, and supplies; evacuating survivors; providing food, water, shelter, and medical care to those in need; and restoring critical public services. FEMA conducts response operations in partnership with State, tribal, and local governments; interagency Federal partners; nongovernmental organizations; and the private sector.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	101,359	74,198	(27,161)
12.1 Benefits	-	28,380	20,775	(7,605)
<b>Total, Salaries &amp; Benefits</b>	-	<b>129,739</b>	<b>94,973</b>	<b>(34,766)</b>

Salaries and Benefits includes costs for 801 FTEs. FY 2013 includes a decrease of \$34,766,000 to cover S&B expenses for 255 FTEs transferred to the Administrative and Regional Offices (ARO) PPA for response efforts conducted in the regions by the Regional Administrators.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$3,360	\$2,560	-\$800

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. FY 2013 includes a decrease of \$800,000 for the FY 2013 National Level Exercise Program.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$32,118	\$25,601	-\$6,517

Other services include report contracted services with non-Federal sources that are not otherwise classified under OC 25. FY 2013 includes a net decrease of \$6,517,000 for the Regional Planning program (-\$846,000), transfer in of the Declarations Unit from the Recovery PPA (\$56,000), and elimination of the Pre-positioned Equipment Program (-\$6,233,000).

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	0	\$10,170	\$10,059	-\$111

Equipment includes all costs for the purchases of persona property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 includes a decrease of \$111,000 for field operations communications equipment.

**Department of Homeland Security  
Federal Emergency Management Agency  
Administrative and Regional Offices  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	70,851	139,077	68,226
12.1 Benefits	-	19,839	38,942	19,103
<b>Total, Personnel and Compensation Benefits</b>	-	<b>90,690</b>	<b>178,019</b>	<b>87,329</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	3,256	2,856	(400)
22.0 Transportation of things	-	117	117	-
23.3 Communications, utilities, and misc. charges	-	742	742	-
24.0 Printing	-	450	450	-
25.1 Advisory and assistance services	-	5,533	5,533	-
25.2 Other services	-	20,488	11,897	(8,591)
25.3 Purchases from Gov't accts.	-	725	725	-
25.4 O&M of facilities	-	1,695	1,695	-
25.7 Operation and maintenance of equipment	-	1,225	1,225	-
26.0 Supplies and materials	-	1,255	1,255	-
31.0 Equipment	-	8,110	8,110	-
32.0 Land & structures	-	1,253	1,253	-
41.0 Grants/Subsidies/Contributions	-	727	727	-
<b>Total, Other Object Classes</b>	-	<b>45,575</b>	<b>36,584</b>	<b>(8,991)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>136,265</b>	<b>214,603</b>	<b>78,338</b>
<b>Full-time Equivalents</b>	-	<b>814</b>	<b>1,366</b>	<b>552</b>

**Administrative and Regional Offices Mission Statement**

Administrative and Regional Operations incorporates the essential command and control functions of the Agency. Administrative coordinates all policy, strategic planning, resources, managerial and administrative actions to include the Federal Coordinating Officers, National Capital Region Coordination (NCRC), and the Evaluations and Assessment Program. Regional Operations includes the leadership, management, and mission support functions of the 10 FEMA Regions. The Regions execute the operational direction received from headquarters to ensure that FEMA can execute its primary mission: preparedness, protection, response, recovery, and mitigation.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	70,851	139,077	68,226
12.1 Benefits	-	19,839	38,942	19,103
<b>Total, Salaries &amp; Benefits</b>	-	<b>90,690</b>	<b>178,019</b>	<b>87,329</b>

Salaries and Benefits includes costs for 1,376 FTEs. FY 2013 includes an increase of \$87,329,000 to cover expenses for 765 FTEs that transferred from the other PPAs for Regional Operations, as well as decrease of 199 FTE funded via transfer from the State and Local Programs (SALP) appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	0	\$3,256	\$2,856	-\$400

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 includes a decrease of \$400,000 for management efficiencies in NCRC.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$20,488	\$11,897	-\$8,591

Other services include report contracted services with non-Federal sources that are not otherwise classified under OC 25. FY 2013 includes a decrease of \$8,591,000 for the Evaluations and Assessment program to be funded via transfer from the SALP appropriation in FY 2013.

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Mission Support**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	103,003	79,781	(23,222)
12.1 Benefits	-	28,841	22,339	(6,502)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>131,844</b>	<b>102,120</b>	<b>(29,724)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	1,040	1,040	-
22.0 Transportation of things	-	227	227	-
23.3 Communications, utilities, and misc. charges	-	307	307	-
24.0 Printing	-	10	10	-
25.1 Advisory and assistance services	-	3,413	3,413	-
25.2 Other services	-	43,226	19,868	(23,358)
25.3 Purchases from Gov't accts.	-	7,544	1,542	(6,002)
25.4 O&M of facilities	-	8,328	785	(7,543)
25.7 Operation and maintenance of equipment	-	2,493	2,493	-
26.0 Supplies and materials	-	944	944	-
31.0 Equipment	-	5,034	5,034	-
32.0 Land & structures	-	15,023	15,023	-
<b>Total, Other Object Classes</b>	-	<b>87,589</b>	<b>50,686</b>	<b>(36,903)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>219,433</b>	<b>152,806</b>	<b>(66,627)</b>
<b>Full-time Equivalents</b>	-	<b>1,040</b>	<b>815</b>	<b>(225)</b>

**Mission Support Mission Statement**

Mission Support provides the corporate support, tools, and resources that the Agency needs to build, sustain and improve its primary mission of preparedness, protection, response, recovery, and mitigation. Functions include IT, human capital management, acquisition management, security, and administration, which include facilities management, records management, and occupational health and safety.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	103,003	79,781	(23,222)
12.1 Benefits	-	28,841	22,339	(6,502)
<b>Total, Salaries &amp; Benefits</b>	-	<b>131,844</b>	<b>102,120</b>	<b>(29,724)</b>

Salaries and Benefits includes costs for 815 FTEs. FY 2013 includes a decrease of \$29,724,000 to cover S&B expenses for 225 FTE transferred to the ARO PPA for mission support functions conducted in the regions by the Regional Administrators.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$43,226	\$19,868	-\$23,358

Other services include report contracted services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 includes a decrease of \$23,358,000, which includes removal of FY 2012 programmatic increases for IT modernization (-\$13,662,000) and unaccompanied minor registration (-\$500,000), and -\$9,408,000 for data center O&M transferred to the Centrally Managed Accounts PPA.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	\$7,544	\$1,542	-\$6,002

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	0	\$8,328	\$785	-\$7,543

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. FY 2013 includes a decrease of \$7,543,000, which includes removal of an FY 2012 programmatic increase (-\$5,000,000) and additional management efficiencies (-\$2,540,000) in the facility repair program.

**Department of Homeland Security  
Federal Emergency Management Agency  
Preparedness and Protection  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	57,378	13,985	(43,393)
12.1 Benefits	-	16,065	3,916	(12,149)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>73,443</b>	<b>17,901</b>	<b>(55,542)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	1,949	918	(1,031)
22.0 Transportation of things	-	15	7	(8)
23.3 Communications, utilities, and misc. charges	-	2,916	1,374	(1,542)
24.0 Printing	-	170	80	(90)
25.1 Advisory and assistance services	-	12,824	6,041	(6,783)
25.2 Other services	-	38,764	15,260	(23,504)
25.3 Purchases from Gov't accts.	-	16,237	7,648	(8,589)
25.4 O&M of facilities	-	1,022	481	(541)
25.7 Operation and maintenance of equipment	-	568	267	(301)
26.0 Supplies and materials	-	597	281	(316)
31.0 Equipment	-	3,037	1,431	(1,606)
32.0 Land & structures	-	23,130	20,304	(2,826)
41.0 Grants/Subsidies/Contributions	-	1,209	1,160	(49)
<b>Total, Other Object Classes</b>	-	<b>102,438</b>	<b>55,252</b>	<b>(47,186)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>175,881</b>	<b>73,153</b>	<b>(102,728)</b>
<b>Full-time Equivalents</b>	-	<b>606</b>	<b>124</b>	<b>(482)</b>

**Preparedness and Protection Mission Statement**

The Preparedness mission seeks to reduce the loss of life and property and protect the Nation by planning, training, exercising, and building the emergency management profession. As manager and coordinator of the preparedness cycle, FEMA provides assistance, support, and leadership to help Federal, State, tribal, and local governments and the private sector build the operational capabilities needed to successfully implement preparedness strategies. The protection mission seeks to protect our Nation's constitutional form of government and ensures that a system is in place to warn our citizens of impending hazards. FEMA is responsible for supporting the enhancement of protection capabilities for all hazards, which in turn helps to integrate the tools and mechanisms for capability building across mission areas; streamlines the delivery of assistance to State, tribal, and local governments, as well as nongovernmental entities; and leverages existing intergovernmental coordination infrastructures. FEMA's primary continuity business lines and associated continuity activities include: Continuity Planning, Continuity Training and Exercises, and Continuity Operations.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	57,378	13,985	(43,393)
12.1 Benefits	-	16,065	3,916	(12,149)
<b>Total, Salaries &amp; Benefits</b>	-	<b>73,443</b>	<b>17,901</b>	<b>(55,542)</b>

Salaries and Benefits includes costs for 124 FTEs. FY 2013 includes a decrease of \$55,542,000 to cover S&B expenses for 482 FTEs for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>0</b>	<b>\$1,949</b>	<b>\$918</b>	<b>-\$1,031</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 includes a decrease of \$1,031,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>0</b>	<b>\$15</b>	<b>\$7</b>	<b>-\$8</b>

Transportation of Things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. FY 2013 includes a decrease of \$8,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>0</b>	<b>\$2,916</b>	<b>\$1,374</b>	<b>-\$1,542</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of IT equipment and services, postal services and rentals, and utility service. FY 2013 includes a decrease of \$1,542,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>0</b>	<b>\$170</b>	<b>\$80</b>	<b>-\$90</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. FY 2013 includes a decrease of \$90,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	\$12,824	\$6,041	-\$6,783

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 includes a decrease of \$6,783,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$38,764	\$15,260	-\$23,504

Other services include report contracted services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 includes a decrease of \$23,504,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	\$16,237	\$7,648	-\$8,589

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. FY 2013 includes a decrease of \$8,589,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	0	\$1,022	\$481	-\$541

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. FY 2013 includes a decrease of \$541,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	\$568	\$267	-\$301

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. FY 2013 includes a decrease of \$301,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	\$597	\$281	-\$316

Supplies and materials are commodities that are ordinarily consumed, converted in the process of construction/manufacture, form a minor part of equipment/property, or other property of little monetary value. FY 2013 includes a decrease of \$316,000 that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>0</b>	<b>\$3,037</b>	<b>\$1,431</b>	<b>-\$1,606</b>

Equipment includes all costs for the purchases of persona property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 includes a decrease of \$1,606,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>32.0 Land &amp; structures</b>	<b>0</b>	<b>\$23,130</b>	<b>\$20,304</b>	<b>-\$2,826</b>

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to building, nonstructural improvements, and fixed equipment additions and replacements. FY 2013 includes a decrease of \$2,826,000 for preparedness and protection efforts that will be funded via a transfer from the SALP appropriation in FY 2013.

**Department of Homeland Security  
Federal Emergency Management Agency  
Recovery  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	53,957	36,465	(17,492)
12.1 Benefits	-	15,108	10,210	(4,898)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>69,065</b>	<b>46,675</b>	<b>(22,390)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	841	841	-
22.0 Transportation of things	-	5	5	-
23.3 Communications, utilities, and misc. charges	-	455	455	-
24.0 Printing	-	59	59	-
25.1 Advisory and assistance services	-	4,944	4,944	-
25.2 Other services	-	1,581	1,021	(560)
25.4 O&M of facilities	-	5	5	-
25.7 Operation and maintenance of equipment	-	514	514	-
26.0 Supplies and materials	-	96	96	-
31.0 Equipment	-	518	518	-
41.0 Grants/Subsidies/Contributions	-	291	291	-
<b>Total, Other Object Classes</b>	-	<b>9,308</b>	<b>8,748</b>	<b>(560)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	<b>78,373</b>	<b>55,423</b>	<b>(22,950)</b>
<b>Full-time Equivalents</b>	-	<b>581</b>	<b>398</b>	<b>(183)</b>

**Recovery Mission Statement**

The Recovery mission seeks to support communities in rebuilding so individuals, civic institutions, businesses, and governmental organizations can function on their own, return to normal life, and protect against future hazards.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	53,957	36,465	(17,492)
12.1 Benefits	-	15,108	10,210	(4,898)
<b>Total, Salaries &amp; Benefits</b>	-	<b>69,065</b>	<b>46,675</b>	<b>(22,390)</b>

Salaries and Benefits includes costs for 398 FTEs. FY 2013 includes a decrease of \$22,390,000 to cover S&B expenses for 183 FTEs transferred to the ARO PPA for recovery efforts conducted in the regions by the Regional Administrators.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$1,581	\$1,021	-\$560

Other services include report contracted services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 includes a decrease of \$560,000 for transfer of the Declarations Unit to the Response PPA.

**Department of Homeland Security  
Federal Emergency Management Agency  
Centrally Managed Accounts  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
12.1 Benefits	-	3,538	3,038	(500)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>3,538</b>	<b>3,038</b>	<b>(500)</b>
<b>Other Object Classes</b>	-	-	-	-
23.1 GSA rent	-	32,894	24,594	(8,300)
23.3 Communications, utilities, and misc. charges	-	20,916	16,081	(4,835)
24.0 Printing	-	200	200	-
25.2 Other services	-	39,683	27,726	(11,957)
25.3 Purchases from Gov't accts.	-	11,958	11,958	-
32.0 Land & structures	-	12,083	10,583	(1,500)
<b>Total, Other Object Classes</b>	-	<b>117,734</b>	<b>91,142</b>	<b>(26,592)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(13,999)	-	13,999
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(13,999)</b>	-	<b>13,999</b>
<b>Total Requirements</b>	-	<b>107,273</b>	<b>94,180</b>	<b>(13,093)</b>
<b>Full-time Equivalents</b>	-	-	-	-

**Centrally Managed Accounts Mission Statement**

Centrally managed accounts are critical bills that must be managed at the enterprise level to ensure efficient and effective cost management which includes streamlining cost factors and prompt payment. The authority and responsibility for the individual accounts are assigned by the FEMA Office of the Chief Financial Officer (OCFO) to the individual functional proponents.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
12.1 Benefits	-	3,538	3,038	(500)
<b>Total, Salaries &amp; Benefits</b>	-	<b>3,538</b>	<b>3,038</b>	<b>(500)</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	0	\$32,894	\$24,594	-\$8,300

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. FY 2013 includes a decrease of \$8,300,000 to be achieved FEMA-wide through consolidation of facilities to reduce the overall FEMA footprint.



	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	0	\$20,916	\$16,081	-\$4,835

Communications, utilities, and miscellaneous charges include all payments for rental or lease of IT equipment and services, postal services and rentals, and utility service. FY 2013 includes a decrease of \$4,835,000 resulting from \$2,935,000 being funded via transfer from the SALP appropriation and an additional reduction of \$1,900,000 to be realized through management efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	\$39,683	\$27,726	-\$11,957

Other services include report contracted services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 includes a decrease of \$12,056,000 as a net result of \$2,167,000 being funded via transfer from the SALP appropriation, a net increase in DHS WCF of \$11,243,000, and use of \$14,098,000 in unobligated balance at start of FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	0	\$12,083	\$10,583	-\$1,500

Land and structures includes the costs for FEMA elements resident on Mount Weather. FY 2013 includes a decrease of \$1,500,000 to be achieved through relocation of FEMA personnel from Mount Weather to more cost-effective locations.

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration  
Urban Search and Rescue  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	735	-	-	-
12.1 Benefits	188	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>923</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	136	-	-	-
22.0 Transportation of things	10	-	-	-
23.3 Communications, utilities, and misc. charges	265	-	-	-
24.0 Printing	2	-	-	-
25.2 Other services	404	-	-	-
26.0 Supplies and materials	111	-	-	-
31.0 Equipment	1,324	-	-	-
41.0 Grants/Subsidies/Contributions	31,908	-	-	-
<b>Total, Other Object Classes</b>	<b>34,160</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>35,083</b>	-	-	-
<b>Full-time Equivalents</b>	<b>8</b>	-	-	-

**Urban Search and Rescue Mission Statement**

The National Urban Search and Rescue System is comprised of 28 task forces that provide a coordinated, national, all-risk capability to assist State and local governments in responding to structural collapse incidents when the President declares a major disaster or emergency under the Robert T. Stafford Disaster Relief and Emergency Assistance Act. These task forces are highly trained and possess the necessary expertise to extricate and medically treat victims in heavy rescue situations. Funding is used to operate and train the existing task forces, maintain the equipment caches, and replace/repair equipment that has been used in training and actual disasters.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	735	-	-	-
12.1 Benefits	188	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>923</b>	-	-	-

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration  
Office of National Capital Region Coordination  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	2,094	-	-	-
11.5 Other personnel compensation	1	-	-	-
12.1 Benefits	554	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>2,649</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	28	-	-	-
25.2 Other services	3,917	-	-	-
26.0 Supplies and materials	14	-	-	-
31.0 Equipment	85	-	-	-
<b>Total, Other Object Classes</b>	<b>4,044</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>6,693</b>	-	-	-
<b>Full-time Equivalents</b>	<b>19</b>	-	-	-

**Office of National Capital Region Coordination Mission Statement**

The National Capital Region Coordination (NCRC) program advances homeland security, including all-hazards preparedness, in the National Capital Region (NCR). The program serves as a model for other regions of the country. NCRC focuses on developing and refining a common regional approach to homeland security that results in the integrated strategies and interoperability among Federal, State, local, regional and private/nonprofit stakeholders. NCRC's primary responsibilities include coordinating and participating in programs and initiatives aimed at enhancing the homeland security posture of the region. NCRC also plays valuable roles in events, drills, and exercises that occur annually in the NCR. NCRC also serves as a principal in the NCR's regional governance structure and coordinates with the NCR's Regional Emergency Support Function to improve preparedness in the NCR.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	2,094	-	-	-
11.5 Other personnel compensation	1	-	-	-
12.1 Benefits	554	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>2,649</b>	-	-	-

**Department of Homeland Security  
Federal Emergency Management Agency  
Management and Administration  
Operating Activities  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	359,344	-	-	-
11.3 Other than full-time permanent	1,249	-	-	-
11.5 Other personnel compensation	7,486	-	-	-
12.1 Benefits	105,852	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>473,931</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	16,617	-	-	-
22.0 Transportation of things	518	-	-	-
23.1 GSA rent	44,280	-	-	-
23.2 Other rent	41	-	-	-
23.3 Communications, utilities, and misc. charges	24,456	-	-	-
24.0 Printing	1,301	-	-	-
25.1 Advisory and assistance services	56,677	-	-	-
25.2 Other services	209,352	-	-	-
25.3 Purchases from Gov't accts.	71,885	-	-	-
25.4 O&M of facilities	8,124	-	-	-
25.7 Operation and maintenance of equipment	11,734	-	-	-
25.8 Subsistence & Support of persons	21	-	-	-
26.0 Supplies and materials	7,738	-	-	-
31.0 Equipment	37,451	-	-	-
32.0 Land & structures	79,859	-	-	-
41.0 Grants/Subsidies/Contributions	15,513	-	-	-
<b>Total, Other Object Classes</b>	<b>585,567</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,059,498</b>	-	-	-
<b>Full Time Equivalents</b>	<b>3,795</b>	-	-	-

**Operating Activities Mission Statement**

Operating Activities includes the essential functions for all of FEMA's major mission organizations and directly supports FEMA's primary mission to reduce the loss of life and property and to protect the Nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters. Operating Activities leads and supports the Nation through a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	359,344	-	-	-
11.3 Other than full-time permanent	1,249	-	-	-
11.5 Other personnel compensation	7,486	-	-	-
12.1 Benefits	105,852	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>473,931</b>	-	-	-

# I. Changes in Full-time Employment – Salaries and Expenses

FY 2011                      FY 2012                      FY 2013

<b>BASE: Year End Actual from Prior Year</b>	-	-	<b>4,271</b>
<b>Increases</b>			
Conversion of 2-year Non-Disaster Specific CORE to PFT	198	-	-
<b>Subtotal, Increases</b>	<b>198</b>	-	-
<b>Decreases</b>			
Removal of SALP & AFG Funded FTE	-	-	(681)
Removal of FTE to offset cost of unfunded Pay COLA	-	-	(14)
<b>Subtotal, Decreases</b>	-	-	<b>(695)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>198</b>	-	<b>3,576</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>198</b>	-	<b>(695)</b>

## I. Changes in Full-time Employment – Management and Administration

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>3,644</b>	<b>3,822</b>	-
<b>Increases</b>			
Adjustment for FTE Annualization	21	103	-
Realignment from SALP Infrastructure & Contractor to PFT conversions	102	-	-
2-Year Core to PFT Conversions - AFG	18	-	-
Conversion of 2-year Non-Disaster Specific CORE to PFT	198	-	-
Adjustment for high grade to low grade buyback	41	-	-
Increase in AFG PFT	8	-	-
FEMA new PFTs	-	24	-
FCIP/SCEP to PFT Conversions	-	18	-
DHS Acquisition Workforce Initiative	-	9	-
DHS Balanced Workforce Strategy	-	116	-
Annualization of FTE Funded by Prior Year DRF Transfer	-	-	872
<b>Subtotal, Increases</b>	<b>388</b>	<b>270</b>	<b>872</b>
<b>Decreases</b>			
Removal of SALP & AFG Funded FTE	-	(637)	-
Removal of FTE Funded by DRF Transfer	-	(872)	-
Technical Adjustment of FTE funded by Prior Year DRF Transfer	(210)	-	-
<b>Subtotal, Decreases</b>	<b>(210)</b>	<b>(1,509)</b>	<b>-</b>
<b>Year-eEnd Actuals/Estimated FTEs:</b>	<b>3,822</b>	<b>2,583</b>	<b>872</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>178</b>	<b>(1,239)</b>	<b>872</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity –  
Salaries and Expenses**

**N/A**



**J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity –  
Management and Administration**

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Operating Activities	\$17,777	0	0	0
<b>Total Working Capital Fund</b>	<b>17,777</b>	<b>0</b>	<b>0</b>	<b>0</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high-performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment, the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

Position Type	FY 2011 Actual		FY 2012 Request		FY 2012 Annualization		FY 2012 Follow-on		FY 2013 Increase		TOTAL FY 2011 – FY 2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Response Directorate			45	45					-	-	45	45
Logistics Management Directorate			4	4	-3	-3			-	-	1	1
Office of the Chief Procurement Officer			5	5					-	-	5	5
Office of the Chief Security Officer			25	25			3	3	-	-	28	28
Office of Program Analysis & Evaluation							1	1	-	-	1	1
Office of the Chief Financial Officer							16	16	-	-	16	16
Office of the Administrator – Center for Faith-Based and Neighborhood Partnerships							1	1	-	-	1	1
National Continuity Program							43	43	-	-	43	43
National Capital Region Coordination							1	1	-	-	1	1
<b>Total</b>	-	-	<b>79</b>	<b>79</b>	<b>-3</b>	<b>-3</b>	<b>65</b>	<b>65</b>	-	-	<b>141</b>	<b>141</b>

### **FY 2013 DHS Balanced Workforce Strategy**

- FEMA plans to convert 65 more contractors to Federal employees in FY 2012 than the 79 reported in the FY 2012 President's Budget. These positions and FTE are included in the FY 2012 Base. FEMA currently has no plans to convert any contractors to Federal employees in FY 2013.

### **DHS Balanced Workforce Strategy Follow-on**

- The Office of the Chief Security Officer (OCSO) has five contracts in the amount of \$6 million that will have positions converted to Federal employees. 25 positions were requested in the FY 2012 Congressional Justification. After further review an additional three positions will be converted. The amount of funding needed to hire Federal employees is \$0.610 million.
  - Implementation Timeline – Contracts are not expected to overlap. The requirements to exercise follow-on options will be evaluated each year, however, three of the contracts will be eliminated immediately following the conversion and the others will only be reduced and will continue through period of performance. Staff assistants within each of the directorates' divisions will absorb some of the administrative work currently being completed by the contractors.
- The Office of Policy and Program Analysis (OPPA) has one contract which will be reduced by \$0.156 million that will have one position converted to a Federal employee. The amount of funding needed to hire the Federal employee is \$0.130 million. The inherently governmental functions were being completed by the two Federal staff assigned to this program; however, after reviewing the number of requests, the reauthorization of the Defense Production Act (DPA) this past year and the added responsibilities providing support for the chair of the DPA committee every other year, OPPA found that having additional Federal support would be more beneficial and offer some cost savings to the Government.
  - Implementation Timeline - Overlap is being anticipated for training purposes. The reduction to the contract should be effective no later than June 1, 2012; other functions of the contract will continue to be exercised.
  - This position will support our DPA Division, which currently only has two Federal employees, with the following functions:
    - Research and analysis of DPA issues including statutory authorities and Executive Branch guidance
    - Research and analysis of industrial base capabilities and the use of DPA authorities to address shortfalls
    - Drafting and editing of reports, briefings, testimony, and other DPA Program Division documents
    - Scheduling, organizing, attending and reporting on meetings related to the DPA and the DPA Committee
    - Evaluation of requests from DHS Components to use the DPA for homeland security purposes
- The Office of the Chief Financial Officer (OCFO) has 3 contracts in the amount of \$2.741 million that will have positions converted to Federal employees, which will eliminate or reduce contract cost. The amount of funding needed to hire Federal employees is \$1.784 million.

- Implementation Timeline – One contract will overlap for transition and training purposes. The requirements to exercise follow-on options will be evaluated each year; however, one of the contracts will be eliminated in mid-FY 2012 following the conversion and the other two will be reduced and will continue through period of performance. One of the contracts will require two Federal employees to absorb the work of the four contracting personnel.
- The Office of the Administrator – Center for Faith-Based and Neighborhood Partnerships (OA-CFBNP) has 1 contract in the amount of \$0.110 million that will have one position converted to a Federal employee, which will eliminate contract cost. The amount of funding needed to hire Federal employees is \$0.109 million. There will be no overlap between the conversion and the contract.
- The National Continuity Programs (NCP) has 16 contracts totaling \$13.334 million per year that will have positions converted to Federal employees, which will eliminate or reduce contract cost. Hiring 43 Federal employees to replace the work performed on these contracts or portions of these contracts will require an additional \$7.133 million in S&B funding per year. The projected savings over the next five years from converting these positions is approximately \$7.027 million, which includes funding not spent on remaining portions of these contracts or converted to S&B funding.
  - Implementation Timeline – The contract will overlap for transition and training purposes. The contract is scheduled to end in August/September of FY 2012. There will not be any responsibilities absorbed by current Federal employees.
- The National Capital Region Coordination (NCRC) has 1 contract in the amount of \$0.091 million that will have one position converted to a Federal employee, which will eliminate or reduce contract cost. The amount of funding needed to hire Federal employees is \$0.080 million.
  - Implementation Timeline –The contract will overlap for transition and training purposes. The contract is scheduled to end by June 30, 2012. There will not be any responsibilities absorbed by current Federal employees as this is a one-for-one conversion.

# **Department of Homeland Security**

*Federal Emergency Management Agency  
State and Local Programs*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Emergency Management Agency State and Local Programs**

### **I. Appropriation Overview**

#### **A. Mission Statement:**

Through the appropriation for State and Local Programs (SLP), FEMA fulfills its role as the principal component of the Department of Homeland Security (DHS) responsible for preparing State and local governments to prevent, protect against, respond to, and recover from incidents of terrorism and other catastrophic events. The appropriation provides for grants, training, exercises, and other support to assist Federal agencies, States, territories, and tribal and local jurisdictions to prepare for terrorism and major disasters.

FEMA's FY 2013 budget for SLP has been revised to reflect a new grants structure and adjusted program funding levels. The new account structure for the SLP appropriation is now divided into three new categories: the National Preparedness Grant Program (NPGP), First Responder Assistance Programs (FRAP), and Management and Administration (SLP M&A). FEMA proposes to consolidate its current preparedness grant programs—with the exception of the Emergency Management Performance Grants (EMPG) and Firefighter Assistance Grants (AFG)—into a comprehensive preparedness grant program. NPGP will require grantees to develop and sustain core capabilities outlined in the National Preparedness Goal instead of requiring grantees to meet mandates from multiple individual, and often disconnected, grant programs. This also will streamline the grant process while taking into account both local requirements and contributions to national capabilities.

#### **B. Budget Activities:**

Protection and National Preparedness (PNP) is the FEMA component responsible for the coordination of protection and preparedness-related activities throughout the Agency, including grants, planning, training, exercises, individual and community preparedness, assessments, lessons learned, continuity, and National Capital Region Coordination (NCRC). PNP conducts its activities through four directorates (National Preparedness, Grant Programs, National Continuity, and NCRC) comprising 20 divisions and four offices. SLP funds are administered within PNP by two of those directorates, the Grants Programs Directorate (GPD), and the National Preparedness Directorate (NPD).

#### **Grant Programs Directorate**

GPD serves as the primary grants management organization within FEMA and manages all business functions for FEMA's extensive grants catalog. GPD also houses the Preparedness Grants Division, FEMA's program office dedicated to the Agency's suite of preparedness grants, administered in support of the Department of Homeland Security's overall mission. GPD's activities are described in greater detail in PPA-3: Management and Administration.

#### **National Preparedness Directorate**

NPD's mission is to provide the doctrine, programs, and resources to prepare the Nation to prevent, protect, mitigate, respond to, and recover from disasters while minimizing the loss of lives,



infrastructure, and property. NPD coordinates the enhancement of the Nation's readiness through its stewardship of the comprehensive preparedness cycle of planning, organizing, equipping, training, exercising, and improving through evaluation. NPD programs provide resources to support preparedness activities for State and local capabilities as outlined in Presidential Policy Directive-8 (PPD-8) on National Preparedness and the Homeland Security Act of 2002. NPD is responsible for administering the National Exercise Program; the National Training and Education Division, which includes the Emergency Management Institute and the Center for Domestic Preparedness; Evaluation and Assessments; Technical Assistance; Individual and Community Preparedness; and the National Integration Center. These programs are described in greater detail in PPA-3: Management and Administration.

In 2011, PNP led FEMA and the Federal interagency in the implementation of PPD-8: National Preparedness, which includes the development of a *National Preparedness Goal* and a *National Preparedness System*. The *National Preparedness Goal* establishes core capabilities for a secure and resilient Nation, including prevention, protection, response, recovery, and mitigation activities that will serve as the basis for preparedness activities within FEMA, throughout the Federal Government, and at the State and local levels. At all levels of government, using the core capabilities, jurisdictions, and agencies as outlined in the *National Preparedness System* will engage in a consistent preparedness process.

To achieve the *National Preparedness Goal*, and in support of the *National Preparedness System*, FEMA proposes to consolidate its current preparedness grant programs—with the exception of the EMPG and AFG—into a comprehensive preparedness grant program. NPGP will require grantees to develop and sustain core capabilities outlined in the *National Preparedness Goal* instead of requiring grantees to meet mandates from multiple individual, and often disconnected, grant programs.

Consolidating the preparedness grant programs will support the recommendations of the Redundancy Elimination and Enhanced Performance for Preparedness (REEPP) Grants Act, will further the Administration's initiatives to reduce the administrative burden on State and local governments, and will streamline the grant application process. This will enable grantees to focus on how Federal funds can add value to the jurisdiction's prioritization of threats, risks, and consequences while contributing to national capabilities. To further increase the efficiency of the National Preparedness Grant, FEMA will issue multiyear guidelines, enabling the Agency to focus its efforts on measuring progress towards building and sustaining national capabilities.

Starting in FY 2013, all FEMA-funded grant projects will be validated via peer review to ensure that projects support the development and sustainment of regional and national preparedness capabilities. The peer review process will incorporate components of the DHS/Infrastructure Protection State, Local, Tribal, and Territorial Government Coordinating Council and will engage representatives from stakeholder agencies from the jurisdiction receiving grant funds, peers from comparable jurisdictions, Federal preparedness coordinators, analysts from multiple State and Regional grant program offices, DHS component representatives, and representatives from national associations. Grantees will be asked to justify their prioritization decisions and how proposed projects will, over the lifecycle of funding, sustain current capabilities and/or address gaps in capabilities. Proposals for the development of new assets will be evaluated carefully to ensure that all new capabilities can be leveraged as national resources that will benefit the region as a whole in addition to the State or local jurisdiction. This

approach will expedite awards, while at the same time, increase accountability over the use of Federal grant funds. Additionally, direct involvement by regional FEMA representatives during the review process will assist in targeting funds for regionally critical projects, and will reduce the development of redundant assets within the Region.

### **C. Budget Request Summary**

In Fiscal Year (FY) 2013, DHS requests \$2,900,212,000 for SLP as described below:

- \$1,540,908,000: For grants under the NPGP
- \$1,080,000,000: For grants under the FRAP to include:
  - \$670,000,000: AFG (\$335,000,000 for Staffing for Adequate Fire and Emergency Response (SAFER) grants and \$335,000,000 for AFG)
  - \$350,000,000: EMPG
  - \$60,000,000: Training Partnership Grants (in place of the National Domestic Preparedness Consortium and the Continuing Training Grants Program)
- \$279,304,000: For Management and Administration, which includes the National Exercise Program, Center for Domestic Preparedness, Technical Assistance, Evaluation & Assessment, and those activities traditionally funded by transfer to the Salaries and Expenses appropriation.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs**  
Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
State and Local Program Grants	-	-	1,861,994	-	-	1,049,476	-	-	-	-	-	(1,049,476)			(1,049,476)			
National Preparedness Grant Program	-	-	-	-	-	-	-	-	1,540,908	-	-	1,540,908	-	-	1,540,908			
First Responder Assistance Programs	55	55	1,121,809	96	88	1,025,000	-	-	1,080,000	(96)	(96)	55,000			99,250	(96)	(88)	(44,250)
Emergency Management Performance Grants	15	15	339,004	15	15	350,000	-	-	350,000	(15)	(15)	-			10,500	(15)	(15)	(10,500)
Firefighter Assistance Grants	40	40	782,805	81	73	675,000	-	-	670,000	(81)	(81)	(5,000)			28,750	(81)	(73)	(33,750)
Training Partnership Grants	-	-	-	-	-	-	-	-	60,000	-	-	60,000	-	-	60,000			
Education, Training, and Exercises	-	-	233,873	94	93	215,927	-	-	-	(94)	(93)	(215,927)				(94)	(93)	(215,927)
Management and Administration <sup>1</sup>	-	-	-	-	-	-	907	876	279,304	907	876	279,304			(111,696)	907	876	391,000
<b>Total, State and Local Programs</b>	<b>55</b>	<b>55</b>	<b>3,217,676</b>	<b>190</b>	<b>181</b>	<b>2,290,403</b>	<b>907</b>	<b>876</b>	<b>2,900,212</b>	<b>717</b>	<b>695</b>	<b>609,809</b>	<b>-</b>	<b>-</b>	<b>478,986</b>	<b>717</b>	<b>695</b>	<b>130,823</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>55</b>	<b>55</b>	<b>3,217,676</b>	<b>190</b>	<b>181</b>	<b>2,290,403</b>	<b>907</b>	<b>876</b>	<b>2,900,212</b>	<b>717</b>	<b>695</b>	<b>609,809</b>	<b>-</b>	<b>-</b>	<b>478,986</b>	<b>717</b>	<b>695</b>	<b>130,823</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>55</b>	<b>55</b>	<b>3,217,676</b>	<b>190</b>	<b>181</b>	<b>2,290,403</b>	<b>907</b>	<b>876</b>	<b>2,900,212</b>	<b>717</b>	<b>695</b>	<b>609,809</b>	<b>-</b>	<b>-</b>	<b>478,986</b>	<b>717</b>	<b>695</b>	<b>130,823</b>

<sup>1</sup> In FY 2011, funds appropriated for the management and administration of the grants, to include Firefighter Assistance Grants (AFG) but not Emergency Management Performance Grants (EMPG), were transferred to FEMA's Management and Administration appropriation. In FY 2012, funds appropriated for the management and administration of the grants, not including AFG and EMPG, were transferred to FEMA's Salaries and Expenses appropriation. The amounts shown in this PPA for these years represent funding appropriated for education, training, and exercises programs. In FY 2013, FEMA is proposing to consolidate all management and administration funding, including those supporting AFG and EMPG, under the Management and Administration PPA along with those funds typically appropriated for education, training, and exercises.

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
National Preparedness Grant Program  
Program Performance Justification  
(Dollars in Thousands)**

#### PPA: National Preparedness Grant Program

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	-	-	<b>1,861,994</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>1,049,476</b>
<b>2013 Current Services</b>	-	-	<b>1,049,476</b>
2013 Program Change	-	-	491,432
<b>2013 Total Request</b>	-	-	<b>1,540,908</b>
Total Change 2012 to 2013	-	-	491,432

FEMA requests \$1.541 billion in FY 2013 for this activity.

#### **CURRENT SERVICES PROGRAM DESCRIPTION:**

Over the past nearly 10 years, we have seen how Federal investments in State, territory, tribal, and local preparedness capabilities have developed significant national capacity to prevent, protect against, respond to, and recover from all kinds of disasters and threats. The FY 2013 National Preparedness Grant Program (NPGP) seeks to sustain and continue to build on these capabilities to create robust national capacity based on cross-jurisdictional and readily deployable State and local assets.

As recognized in the National Preparedness Goal, a secure and resilient Nation is one with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk. With this in mind, the FY 2013 NPGP will work to develop, maintain, and sustain core capabilities in the National Preparedness Goal.

#### **Purpose of the Program**

The FY 2013 NPGP will:

- Focus on the development and sustainment of the core capabilities identified in the National Preparedness Goal.
- Utilize the capability estimation process employed by applicants and verified by DHS to determine capability and resource deficiencies to inform the competitive process.

- Build a robust national preparedness capacity based on cross-jurisdictional and readily deployable State and local assets.

FY 2012 grants will prepare grantees for the transition to new requirements in FY 2013 in the following ways:

- Begin the process of transitioning from 16 separate preparedness grant programs<sup>2</sup> in FY 2011 to a more streamlined model within the construct of the FY 2012 appropriations.
- Continue the transition to address the core capabilities outlined in the National Preparedness Goal.
- Implement a two-year period of performance with very limited extensions.

### **Changes from Previous Years in FY 2013**

#### Elevate national preparedness capabilities by focusing on regionally and nationally deployable assets

Over the last 10 years, we have recognized that Federal Emergency Management and Homeland Security (EMHS) funds are most effective when they develop and sustain capabilities that are cross-jurisdictional, readily deployable, and multipurpose. We also know that threats, risks, hazards, and their consequences vary across the United States. Therefore, the NPGP will focus on the development and sustainment of National Incident Management System (NIMS)-typed capabilities that can be utilized nationally and regionally, like canine explosive detection teams, Urban Search and Rescue Teams, and Hazardous Materials (HAZMAT) teams, as well as other deployable assets.

As part of the peer review process, all EMHS resources will be considered in the context of their availability and utility to multiple jurisdictions, regions and the Nation. The peer review process will require that resources, regardless of funding source, are complementary and that mutual aid and similar agreements allow for their use across jurisdictional boundaries for a wide range of threats and hazards. This will aid in preventing the use of Federal funds to replicate capabilities that are in close proximity. Jurisdictions also must maintain membership in the Emergency Management Assistance Compact (EMAC) to facilitate the mutual aid of capabilities in order to be eligible for funding.

#### Building and sustaining core capabilities

The NPGP will optimize the development and sustainment of core capabilities as outlined in the National Preparedness Goal. Particular emphasis will be placed on building and sustaining capabilities that address high-consequence events that pose the greatest risk to the security and resilience of the United States and along its borders and that can be utilized to address multiple threats and hazards. Grantees will map their proposed investments to one or more specific core capabilities and will incorporate effectiveness measures that facilitate accountability. This clear linkage will enable all levels of government to collectively demonstrate how the proposed investment will build and sustain core capabilities necessary to strengthen the Nation's preparedness. The FY 2013 NPGP will encourage the use of complete lifecycle planning of inventories and resources. This will allow grantees to plan and budget for equipment upgrades, develop and maintain skills through training and exercises, and update plans and procedures to enable delivery of core capabilities across the prevention, protection, mitigation, response, and recovery mission areas.

#### Evaluation of new assets and capability requests

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<sup>2</sup> Emergency Management Performance and Firefighters Assistance grant programs are not included.

Proposals from States and high-threat urban areas for the development of new assets and capabilities and for which a need is identified in the Threat Hazard Identification and Risk Assessment (THIRA) will be placed in a competitive pool. These proposals will be evaluated on the ability for a jurisdiction to build and sustain the capability as not just a local, but a nationally deployable resource that will increase one or more core capabilities for the region (i.e. FEMA Region).

#### Risk and vulnerability assessments

FEMA will base funding allocations on prioritized core capabilities as well as comprehensive threat/risk assessments and gap analyses. Specifically, allocations will consider current threat data (including domestic extremist threat input from the FBI), the needs identified in each State's THIRA, the Strategic National Risk Assessment and National Preparedness Report, and a regional risk assessment of gaps in national core capabilities (the FEMA Regional THIRA). Emphasis will be placed on building core capabilities that can be utilized nationally and regionally.

#### Consolidation of grants

To increase efficiency, FEMA will consolidate current grant programs into a comprehensive NPGP (excluding EMPG and Fire grants). The NPGP will enable grantees to develop and sustain core capabilities outlined in the National Preparedness Goal instead of requiring grantees to meet the mandates from multiple individual, often disconnected, grant programs.

Consolidating grant programs will support the recommendations of the Redundancy Elimination and Enhanced Performance for Preparedness Grants Act (REEPPG) and streamline the grant application process. This increased efficiency will enable grantees to focus on how Federal funds can add value to the jurisdiction's prioritization of threats, risks, and consequences while contributing to national preparedness capabilities.

#### Multiyear Program Guidance

To further increase the efficiency of the NPGP, FEMA will issue multiyear guidelines. Multiyear grants programs will enable FEMA to focus its efforts on measuring progress towards building and sustaining the core capabilities identified in the National Preparedness Goal.

#### Project Based Approach to Developing and Monitoring Capabilities

Starting in FY 2013, grant awards will be based on validated assessments of the needs and gaps for the jurisdiction and region where the project will be implemented. Consistent with the recommendations made in the 2011 REEPPG report, FEMA will use project-based monitoring as the principal means of measuring project progress. Project-based monitoring is a method of following projects from creation to completion, providing basic data to measure impact over time, improving accountability, and enabling FEMA to identify progress made in preparedness and determine current and future gaps.

#### Peer Review

All FEMA funded grant projects will be validated via peer review to ensure that projects support the development and sustainment of regional and national core capabilities. The peer review process will incorporate pieces of the DHS/Infrastructure Protection (IP) State, Local, Tribal, and Territorial Government Coordinating Council structure and engage representatives from stakeholder agencies from the jurisdiction receiving grant funds, peers from comparable jurisdictions, Federal preparedness coordinators and analysts from multiple State and Regional grant program offices, DHS component

representatives, and representatives from national associations. Grantees will be expected to justify why they prioritize funding particular projects and how these projects will, over the lifecycle of funding, sustain current capabilities as well as address gaps in capabilities. Proposals for the development of new assets will be evaluated carefully to ensure that all new capabilities can be leveraged as a national resource that will benefit the region as a whole in addition to the State or local jurisdiction. This approach will expedite awards, while at the same time, increase accountability over the use of Federal grant funds. Additionally, direct involvement by regional FEMA representatives during the review process will assist in targeting funds for regionally critical projects, and will reduce the redundancy of like assets throughout the Region.

### **Allocation of FY 2013 Grant Funding**

All NPGP awards will be risk-informed. FEMA will base funding allocations on prioritized core capabilities as well as comprehensive threat/risk assessments and gap analyses. FY 2013 funding will be prioritized across the following focus areas, each of which will be supported via one or more investment justification:

#### Core Capabilities

Since the focus of the NPGP is to develop and sustain the core capabilities identified in the National Preparedness Goal, the program will prioritize nationally deployable NIMS-typed capabilities. This will include funding that States typically invest in preparedness activities (including the portion of the Transit Security Grant Program (TSGP) that is allocated for operational packages) that could be utilized anywhere in the country via EMAC or other mutual aid/assistance agreements. Such capabilities are identified in the National Preparedness Goal and include mass search and rescue operations, intelligence and information sharing, border security and border protection operations, cybersecurity, community resilience, and economic recovery. In addition, a portion of this funding may be used by States and high-threat urban areas to sustain core capabilities that may or may not be deployable, such as interoperable communications systems, mitigation-related capabilities, and fusion centers. FEMA will prioritize funding based on whether:

- The capability is one of the core capabilities identified in the National Preparedness Goal
- The capability meets one of the NIMS resource types
- The applicant belongs to or is located in member States of EMAC, except for American Samoa and the Commonwealth of the Northern Mariana Islands, which are not required to belong to EMAC at this time
- The capability can be utilized anywhere in the Nation upon request
- The capability addresses a risk or hazard identified in both the FEMA Regional and State THIRA
- FEMA has determined that the capability is not redundant

Applications not meeting the above criteria will not be eligible for grant funding. It is anticipated that funding will be allocated in the following manner:

- Each State and territory will receive a base level of funding allocated in accordance with a population-driven formula such as that for the EMPG program.
- The remainder of the State awards will be determined competitively, based on the criticality of the specific capability according to the Regional THIRA as evaluated by the criteria

above, as well as the applicant's ability to complete the project within the two-year period of performance.

- FEMA will also take into account a grantee's prior performance in executing projects based on grant monitoring and amount of funds returned to the Treasury at the end of the period of performance.
- Priorities will vary by region according to the risks and hazards therein (i.e. hurricane risk for Gulf and East Coast states, terrorism for large urban areas, flooding in the Midwest and earthquakes and wildfires on the West Coast). The prioritization of deployable capabilities will bear directly on the FEMA Regional THIRA.

Another portion of the funding will be placed in a competitive pool for the development of new capabilities for which a need is identified in the THIRA and a corresponding resource estimation and implementation strategy are provided. These proposals will be evaluated by a national review panel for the ability for a jurisdiction to build and sustain the capability as not just a local, but a nationally deployable resource that will increase one or more core capabilities for the region (i.e. FEMA Region). All jurisdictions applying for competitive funds must affirm membership in EMAC and commit to regional and national deployment as needed. In addition, competitive applications will be required to address a capability gap identified in one of the FEMA Regional THIRAs, identify that the proposed new capability does not duplicate one that already exists within a reasonable response time and describe how the capability will be fully established within the two-year period of performance.

#### Enhancing Terrorism Prevention and Protection Capabilities:

As the terrorist threat to the United States has evolved, the terrorism prevention community has sought to enhance capabilities to detect and mitigate the threat posed by those who seek to carry out violent attacks against the people, government, or critical infrastructure of the United States. The threat posed by homegrown terrorism is real and not limited to a single ideology. Foreign terrorist groups affiliated with al-Qaida and individual terrorist thought leaders are actively seeking to recruit or inspire Westerners to carry out attacks against western and United States targets. The Nation must remain vigilant against homegrown and foreign terrorist threats.

In support of the National Preparedness Goal's Prevention and Protection core capabilities, the forthcoming National Prevention and Protection Frameworks, and the Strategic Implementation Plan (SIP) to the National Strategy on Empowering Local Partners to Prevent Violent Extremism in the United States, NPGP will seek to prioritize programs and initiatives that directly support local efforts to enable interdiction and disruption of terrorist activity through enhanced understanding and recognition of pre-operational activity and other crimes that are precursors or indicators of terrorist activity, in accordance with applicable privacy, civil rights, and civil liberties protections. Examples of such programs and initiatives include, but are not limited to, maturation and enhancement of fusion center and intelligence analysis activities, implementation of the Nationwide Suspicious Activity Reporting Initiative, and the "If you see something, say something" campaign to raise public awareness of terrorism and violent crime indicators.

#### Critical Infrastructure/Key Resources Protection (CIKR):

Finally, a priority focus area is critical infrastructure and key resource protection and long-term vulnerability reduction. This category includes physical security enhancements of:



- Level 1 and 2 CIKR sites in the National Critical Infrastructure Prioritization Program (NCIPP)
- Transit facilities on the Top Transit Asset List (TTAL)
- Port facilities identified in Port-Wide Risk Management Plans
- At-risk nonprofit organizations

A national review panel comprised of FEMA Federal Preparedness Coordinators, DHS Office of Infrastructure Protection, Transportation Security Agency, U.S. Coast Guard, Customs and Border Protection, Maritime Administration and others will review applications and allocate funding based on national risk prioritization using a combination of the existing TTAL, Maritime Security Risk Assessment Model score and NCIPP list.

### **Continuous Feedback**

DHS will continue to solicit stakeholder feedback to ensure NPGP enables all levels of government to build and sustain, in a collaborative way, the core capabilities necessary to prepare for incidents that pose the greatest risk to the security of the Nation.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
First Responder Assistance Programs  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: First Responder Assistance Programs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>15</b>	<b>15</b>	<b>1,121,809</b>
<b>2012 Enacted Budget Authority</b>	<b>96</b>	<b>88</b>	<b>1,025,000</b>
<b>2013 Current Services</b>	-	-	<b>980,750</b>
2013 Program Change	-	-	99,250
<b>2013 Total Request</b>	-	-	<b>1,080,000</b>
Total Change 2012 to 2013	(96)	(96)	55,000

DHS requests \$1.080 billion in FY 2013 for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

***Firefighter Assistance Grants***

**Assistance to Firefighter Grants (AFG)**

The AFG program awards grants directly to fire departments and nonaffiliated EMS organizations throughout the United States to support one-year projects that improve the effectiveness and safety of the Nation's first responders in homeland security, firefighting, and emergency medical services (EMS) operations. Under its authorizing legislation, AFG must also expend a minimum of five percent of appropriated funds for fire prevention activities.

FEMA's GPD administers the program in cooperation with the U.S. Fire Administration. The entire AFG process is fully automated in an electronic grants system. Applicants apply online; grants are awarded electronically; grantees manage their grants (payment requests, amendments, etc.) online; and grants are monitored and closed out electronically. For FY 2012, eligible applicants again will be invited to submit an application for assistance in the following program areas most critical to enhancing the capabilities of the fire and EMS services:

- Operations and Safety programs, which include training, equipment, and personal protective equipment
- Firefighting Vehicle Acquisition program, which includes pumpers, brush trucks, tankers/tenders, rescue vehicles, ambulances, turntable ladder trucks with quintuple capabilities (quints), aerials, foam units, and fireboats

- Wellness/fitness activities
- Increasing the number of trained, "front-line" firefighters
- Modifications to facilities
- Fire Prevention and Safety (FP&S) activities, which include awareness and education, arson prevention, code enforcement, burn prevention, and firefighter safety research and development

Funding priorities for each of the funding activities are determined by DHS/FEMA and are based on the National Preparedness Goal and on recommendations from the Nation's fire service (represented by nine major fire service organizations). The applications that most closely relate to those announced priorities are reviewed by peer panels. Peer review panels typically commence within two weeks of the end of the grant application period and take three weeks to complete. Grant awards are based primarily on the results of the peer review panels.

### **Staffing for Adequate Fire and Emergency Response**

SAFER grants and FP&S grants provide support to fire departments and nonaffiliated EMS to improve the readiness and capability of local first responders during all-hazards emergencies, including firefighting and EMS operations. FEMA strongly encourages applicants, to the extent practicable, to seek, recruit, and hire post-9/11 veterans to increase their ranks within their department in order to take advantage of the provisions of the VOW To Hire Heroes Act of 2011. In FY 2013, FEMA anticipates a preference for all SAFER applicants to have a policy in place addressing their intent to implement strategies to support this Act and have recruiting efforts aimed at post-9/11 veterans.”

### ***Emergency Management Performance Grants Program***

EMPGs are formula grants provided to assist State and local governments to sustain and enhance the effectiveness of their emergency management program. Funds are provided to all 50 States and six territories as well as to the Federated States of Micronesia and the Republic of the Marshall Islands. FEMA provides States the flexibility to allocate funds according to risk and to address the most urgent State and local needs in disaster mitigation, preparedness, response, and recovery. Working within the standard Federal Government grant administration process, EMPG provides the support that State and local governments need to achieve measurable results in key functional areas of emergency management: 1) Laws and Authorities; 2) Hazard Identification and Risk Assessment; 3) Hazard Management; 4) Resource Management; 5) Planning; 6) Direction, Control, and Coordination; 7) Communications and Warning; 8) Operations and Procedures; 9) Logistics and Facilities; 10) Training; 11) Exercises; 12) Public Education and Information; and 13) Finance and Administration.

### ***Training Partnership Grants***

Funds for the Training Partnership Grants, formerly funded separately as the Continuing Training Grants and National Domestic Preparedness Consortium (NDPC), are managed and administered through the National Training and Education Division (summarized under PPA 4 below). Training Partnership Grants will be awarded on a competitive basis to entities (e.g., State, local, tribal, and territorial governments; universities and higher education institutions; and nonprofits) that have demonstrable expertise and can develop/deliver training and education curricula that tie to the core capabilities in the National Preparedness Goal.

The Training Partnership Grants program will aim to incentivize innovation in homeland security training techniques through its competitive approach to awarding funds. This new training initiative will not preclude the NDPC members and other traditional recipients of FEMA training grant funding from receiving awards. However, it will employ a competitive process to build on the solid foundation that exists by developing new training venues and vehicles to educate the State and local first responder community.

First-time grant recipients that are facility-based training and education centers and do well in the competitive process will be awarded grants to develop curricula and assist with other programmatic upstart costs as they establish a reimbursable training program or course. The grant funding for these recipients will be multiyear in nature but will be phased out over several years, as the grantee builds a customer base that will be expected to pay the new training provider for the services they receive.

Other grant recipients (including former recipients under the NDPC and Continuing Training Grants) can compete each year for funding and may receive awards, based on the merits of their respective proposals.

Any recipient receiving an award through the Training Partnership Grants program will be required to sustain the programs and courses developed with funding they collect from attendees. While Federal discretionary grant programs that typically focus on the first responder community differ in their list of eligible expenses, many of these programs permit their awarded funds to be expended on reimbursable training initiatives.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Management and Administration  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Management and Administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>233,873</b>
<b>2012 Enacted Budget Authority</b>	<b>94</b>	<b>93</b>	<b>215,927</b>
2013 Adjustments-to-Base	813	783	175,073
<b>2013 Current Services</b>	<b>907</b>	<b>876</b>	<b>391,000</b>
2013 Program Change	-	-	(111,696)
<b>2013 Total Request</b>	<b>907</b>	<b>876</b>	<b>279,304</b>
Total Change 2012 to 2013	813	783	63,377

FEMA requests \$279.304 million in FY 2013 for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Management and Administration PPA include both salaries and benefits and operating expenses for the following activities under the purview of FEMA's Protection and National Preparedness/Grants Program Directorate (GPD) and National Preparedness Directorate (NPD):

- Protection and National Preparedness Front Office
- Office of Counterterrorism and Security Preparedness
- Office of Preparedness Integration and Coordination
- Grants Program Directorate
- National Exercise Program
- Center for Domestic Preparedness
- Technical Assistance
- Evaluations and Assessments
- National Integration Center
- National Training and Education Division
- Emergency Management Institute
- Individual and Community Preparedness Division
- Salaries and Expenses

In addition, this PPA funds the salaries and benefits for headquarters and regional staff, travel, rent, printing and supplies, related preparedness activities, administration activities, and contributions to the DHS Working Capital Fund.

## **Protection and National Preparedness**

### ***Mission***

Protection and National Preparedness (PNP) is responsible for the coordination of preparedness and protection-related activities throughout FEMA. This responsibility encompasses grants, planning, training, exercising, individual and community preparedness, assessments, lessons learned, continuity, and National Capital Regional Coordination (NCRC). PNP's comprehensive and diverse mission has necessitated the merging of various programs with similar or complementary objectives and milestones in recent years. As such, PNP's budget is funded through two appropriations - the FEMA Salaries and Expenses (S&E, formerly Management and Administration) and SLP appropriations.

Organizationally, PNP comprises four directorates: NPD, GPD, National Continuity Programs (NCP), and NCRC. NCP and NCRC are funded in S&E while NPD, GPD, and the Office of the Deputy Administrator for Protection and National Preparedness are funded in SLP. The Office of the Deputy Administrator for PNP includes a small front-office executive staff and three functional offices: the Strategic Resource Management Office (SRMO), the Office of Counterterrorism and Security Preparedness (OCSP); and the Office of Preparedness Integration and Coordination (OPIC).

### ***PNP Front Office***

The Front Office Executive Staff includes a senior counselor, a senior policy advisor, an executive assistant, and a scheduler. The office is responsible for providing direct support to the Deputy Administrator in areas such as scheduling, long-range planning, and integration of Directorate crosscutting actions. In addition, the senior staff provides management and oversight of cross-Directorate programs and initiatives and represents the Deputy Administrator in a variety of engagements and forums.

### ***Office of Counterterrorism and Security Preparedness***

The Office of Counterterrorism and Security Preparedness was established to serve as the lead integrator of prevention and protection programs and policy within FEMA. To accomplish this task, OCSP engages with various intra-departmental policy boards and working groups such as the Information Sharing and Safeguarding Governance Board, the DHS Countering Violent Extremism Working Group, and the Homeland Security Intelligence Council.

### ***Office of Preparedness Integration and Coordination***

OPIC was established to ensure headquarters preparedness activities and initiatives are coordinated effectively and efficiently with the Regional Federal Preparedness Coordinators (FPC) and to integrate preparedness into activities in other FEMA elements. OPIC works closely with FEMA's Office of Regional Operations to coordinate preparedness programs with the FEMA Regions. OPIC also serves as PNP's lead office for coordination and partnership efforts with State emergency managers and State homeland security advisors.

### ***Strategic Resource Management Office***

SRMO aligns and coordinates all available PNP resources, including people, dollars, systems, and business processes and provides the Deputy Administrator with an overall, detailed view of the resources within PNP and business-related activities within the Agency and PNP. The office serves as PNP's budget office, coordinating directorate spend plans, congressional justifications, and related documents and serving as a single-point-of contact to FEMA's Office of Chief Financial Officer (OCFO) and the White House Office of Management and Budget.

### **Grants Program Directorate**

GPD is FEMA's primary grants-management organization and manages all business functions for the agency's extensive grants catalog. In January 2011, GPD realigned its internal organization to streamline the management of all FEMA grant programs and to improve the efficiency of the programmatic management of the agency's preparedness grants. As a result of that reorganization, GPD now comprises three separate divisions:

#### ***Grant Operations Division***

The Grant Operations Division serves as the centralized financial management support division for all FEMA grant programs. It develops and manages policy relating to the administration of FEMA grant programs and maintains and reports on a variety of grant program data.

#### ***Preparedness Grant Division***

The Preparedness Grant Division is the executive agent for FEMA's preparedness programs portfolio. It develops annual grant programs based on Congressional appropriations and executive branch direction and works directly with FEMA stakeholders to identify and resolve emerging grant-related issues in the emergency management and homeland security communities.

#### ***Resource Management and Business Administration Division***

The Resource Management and Business Administration Division develops and oversees GPD's budget, apportions allotments for the annual award process for all FEMA grants, and provides human capital, administrative, and logistical support to GPD.

In addition to GPD's structural changes, FEMA has dedicated its efforts to grant process improvements. FEMA established an Intra-Agency Grants Task Force (GPTF) to facilitate the exchange of ideas and information necessary to ensure that grants are administered consistently and effectively, to eliminate duplication of efforts, and to strengthen FEMA's pre- and post-award grant functions. Participants include: GPD, OCFO, ODIC, Office of Policy and Program Analysis (OPPA), NCP, NPD, Recovery, Logistics Management, U.S. Fire Academy, Office of the Chief Information Officer (OCIO), and the FEMA Regions. The initial focus areas for GPTF include:

- ND Grants
- Grant Drawdown and Monitoring
- A-133 Audits
- Grant Closeout
- Federal Funding Accountability and Transparency Act
- Administrative Sanctions and Debt Resolution
- Improper Payment Information Act
- Grants Compliance with Federal Regulations

In addition to the GPTF, FEMA has been an active participant in an initiative championed by the DHS Deputy Secretary to improve the performance of all DHS financial assistance programs.

### **National Preparedness Directorate**

NPD coordinates the doctrine and programs and contributes resources to prepare the Nation to prevent, protect, mitigate, respond to, and recover from disasters while minimizing the loss of lives, infrastructure, and property. NPD is responsible for coordinating the enhancement of the Nation's readiness through its stewardship of the comprehensive preparedness cycle of planning, organizing, equipping, training, exercising, and improvement through evaluation. NPD is responsible for administering the National Exercise Program (NEP); the National Training and Education Division (NTED), which includes the Emergency Management Institute (EMI) and the Center for Domestic Preparedness (CDP); Evaluation and Assessments; Technical Assistance; Individual and Community Preparedness; and the National Integration Center (NIC).

### ***National Exercise Program***

The mission of the NEP is to serve as the principal mechanism for examining the preparedness and readiness of the United States across the entire homeland security and emergency management enterprise. The program designs, coordinates, conducts, and evaluates exercises that rigorously test the Nation's ability to perform missions and functions that prevent, protect against, respond to, recover from, and mitigate all hazards.

As directed by DHS Secretary Napolitano and in close collaboration with our Federal interagency partners, the National Security Staff (NSS), the FEMA National Advisory Council, and other stakeholders, DHS/FEMA conducted an extensive effort in 2010 to revise and improve the NEP. The results of this extensive effort are reflected in a revised NEP, signed by the FEMA Administrator on March 18, 2011, which calls for more realistic, smaller-scale exercises that progressively build toward a capstone national-level exercise to be held every two years. The revised NEP ensures lessons learned and corrective actions are captured, shared, and addressed more readily following exercise completion. The development of a NEP implementation plan, led by FEMA and in collaboration with the interagency and external stakeholders, will be completed in FY 2012. The intent of the implementation plan is to provide the details of the program performance, scoping of individual department and agency involvement, exercise selection, and formulation of the exercise program. While key NEP reforms already are being implemented, full implementation is scheduled for January 1, 2013, with the initiation of the first full two-year progressive exercise cycle. The NEP reform process will continue to yield savings as economies of scope are realized. The 2013 Request for NEP, which represents a \$4 million reduction to the 2012 Enacted level, is a reflection of these initial efficiency gains.

FEMA will continue to plan and conduct National-level exercises (NLE) while reforming the NEP. In May 2011, NEP conducted NLE 11 to focus on a major earthquake scenario in the New Madrid Seismic Zone. The NEP currently is planning NLE 2012, which will examine the Federal Government's ability to implement prevention, protection, response and recovery plans, in coordination with State, local, private sector, public and international stakeholders, to a simulated cyber attack on government, public, and private sector systems.



The NEP also includes:

- Principal Level Exercises for the President and his Cabinet Level Secretaries
- Support for regional, State, and local exercises
- Terrorism prevention exercises
- Exercise guidance and templates for States and locals to use in their own exercises
- A corrective action program to track and monitor corrective actions from exercises
- A National Exercise Simulation Center to provide simulations, modeling, and role players during exercises and incorporate more technology into exercise planning, conduct and evaluation
- Support for the Lessons Learned Information Sharing System (LLIS) to share lessons learned and best practices from exercises and real-world events

### ***National Training and Education Division***

NTED provides management and administration (M&A) of the Training Partnership Grants. NTED training partners provide first responders and Government officials with training that improves their ability to prepare for, protect against, respond to, recover from, and mitigate, all-hazards incidents and acts of terrorism through the Homeland Security National Training Program. NTED currently manages funding for more than 60 training partners.

### ***Center for Domestic Preparedness***

CDP provides specialized all-hazards preparedness training to State, local, and tribal emergency responders on skills tied to national priorities, particularly those related to weapons of mass destruction (WMD).. To date, more than 80,000 students from State, local, and tribal agencies have been trained at CDP. It is the Nation's only live-agent training facility for civilian responders and it offers a unique environment that enables them to train using toxic nerve agents and live biological agents in safety. Within the funding provided, \$5.5 million is used to operate the Noble Training Facility (NTF), the only hospital facility in the United States dedicated solely to training hospital and healthcare professionals in disaster preparedness and response operations. The NTF addresses training gaps identified by the healthcare response community and trains healthcare professionals to meet all-hazard threats in a realistic hospital environment. In addition to developing and delivering emergency responder training at various levels for a broad range of emergency response disciplines, CDP also participates in efforts to standardize this training for State, local, and tribal responders, while maintaining training quality and gathering meaningful evaluation data for continuous program improvement and effective program management. CDP maintains a campus of 124 acres and approximately 900,000 square feet of training and support facilities.

### ***Technical Assistance (TA) Program***

FEMA's TA program provides specialized expertise and services to State and local homeland security and emergency management agencies. The TA program is designed to be an agile program that addresses areas of greatest State and local need. It is committed to transferring and institutionalizing knowledge at the State and local levels and provides a menu of services that is responsive to national priorities. The services provided through this program increasingly address complex challenges requiring specialized expertise that requesting agencies do not possess.

The program seeks to build and sustain capabilities by providing specific services and analytical capacities as well as preparedness guidance across two primary functional areas: (1) preparedness

technical assistance activities in support of the five homeland security mission areas (prevention, protection, response, recovery, and mitigation) and (2) homeland security grants management. This two-pronged approach ensures that initiatives measurably contribute to the enhancement of State and local homeland security programs and the specific homeland security capabilities they build and manage. These services result in expanded planning nationwide for large-scale and catastrophic events, expanded fusion center capabilities, more effective homeland security programs, improved grants management, and a transfer of knowledge and capabilities to State and local governments.

Since 2009, more than 175 TA deliveries have been made nationwide with deliveries in 2012 and 2013 expected to be comparable to or exceed 2010 levels.

### ***Evaluations and Assessments Program***

The Evaluations and Assessments Program is managed by FEMA's National Preparedness Assessment Division (NPAD) and supports the Agency's mission by working to measure overall national preparedness, as well as the effectiveness of preparedness programs, including grants. As part of this mission, NPAD identifies, tracks, and monitors corrective actions and lessons learned from exercises and real-world events, supporting the homeland security and emergency management community's continual need to change, adapt, and innovate. Evaluations and Assessments programs include the following.

#### ***Preparedness Reports***

The Evaluations and Assessments Program is leading the development of the National Preparedness Report described in PPD-8.

#### ***State Preparedness Report***

Each State or territory that receives Federal assistance must submit an annual report on its level of preparedness to FEMA. NPAD develops the format and analyzes these 56 reports to discern nationwide trends, identify areas for increased attention, and inform broader assessments of national preparedness.

#### ***Remedial Action Management Program/Corrective Action Program (RAMP/CAP)***

NPAD and the National Exercise Division are collaborating to refine the FEMA RAMP and the exercise CAP to ensure that they more accurately, consistently, and systematically track and disseminate corrective actions from exercises and real-world events. This is essential to affecting the change and evolution that spur sustained improvements in preparedness.

#### ***Lessons Learned Information Sharing (LLIS.gov)***

NPAD is enhancing and updating LLIS.gov in order to better serve the evolving needs of FEMA and Whole Community partners and improve linkages with other programs and systems that support the learning environment for the emergency management and homeland security communities.

#### ***Performance Measures and Metrics***

NPAD is responsible for developing and analyzing performance measures and metrics for PNP programs, including grants, community preparedness, and the Nation's overall preparedness. In FY 2012, NPAD is working with GPD to track metrics for State Homeland Security Grant Program (SHSGP) and Urban Area Security Initiative (UASI) grantees. For example, FEMA will track that all

equipment and training procured under the grants must be in support of the development or maintenance of an identified team or capability described and typed under the NIMS. Grantees also will report the percentage of SHSGP and UASI-funded personnel who are engaged in the Nationwide Suspicious Activity Reporting (SAR) Initiative and who have completed DHS's NSI training. These metrics will help define the accomplishments of these grantees to prepare for disasters and will contribute to the National Preparedness Report. NPAD also is developing performance objectives for the new National Preparedness Goal.

NPAD tracks data on program metrics and milestones to meet the goals of the DHS Strategic Plan. FEMA established new strategic measures in FY 2011 with ambitious targets for FY 2012 and FY 2013. For example, FEMA has set targets to increase the number of corrective actions completed by DHS to improve performance following NLEs from a baseline of 13 in FY 2010 to a total of 60 in FY 2013.

### **National Integration Center**

The NIC provides guidance to ensure integrated preparedness and operations across all mission areas – Protection, Prevention, Mitigation, Response, and Recovery – and supports its Federal, State, local and tribal partners as they work to achieve the National Preparedness Goal.

The NIC provides a comprehensive national system that improves the Nation's capability across the Whole of Community to prepare for, prevent, protect against, respond to, recover from, and mitigate all hazards through the development, sustainment, and evolution of the National Incident Management System (NIMS), National Response Framework (NRF), and Comprehensive Planning Guide 101 (version 2): Developing and Maintaining Emergency Operations Plans. The NIC serves as the Executive Agent and is responsible for the interagency implementation of PPD-8: National Preparedness to include development and implementation of the National Preparedness System to achieve the National Preparedness Goal of a secure and resilient Nation.

As a component of FEMA's National Preparedness Directorate (NPD), the NIC is the program office within the Federal Government responsible for leading the adoption, implementation, maintenance, and continuous refinement of the NIMS as well as the development and/or promotion of preparedness doctrine, policy, guidance, job aids, and other tools related to the NIMS, NRF, and CPG-101. Additionally, the NIC coordinates the National Credentialing and Resource Typing Programs, which includes developing and maintaining the policies, standards, and procedures to ensure that emergency response and public safety personnel are qualified, properly identified, and equipped.

### ***Emergency Management Institute***

EMI is the emergency management community's flagship training institution, and provides training to Federal, State, local, tribal, volunteer, public, and private sector officials to strengthen emergency management core competencies for professional, career-long training. EMI directly supports the implementation of the NIMS, the NRF, the National Disaster Recovery Framework (NDRF), and the NPG by conveying necessary knowledge and skills to improve the Nation's capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. EMI trains more than 2 million students annually. Training delivery systems include residential onsite training; offsite delivery in partnership with emergency management training systems, colleges, universities; and technology-based mediums to conduct individual training courses for emergency management personnel across the

Nation. State, local, and tribal organizations rely on EMI as the source for emergency management and response training and a curriculum to deploy at their own academies. Evaluation data as well as direct feedback from communities such as Tuscaloosa, Alabama, following its recent tornado, credit EMI's training programs with communities' success in successfully managing disasters and emergencies.

### **Individual and Community Preparedness Division (ICPD)**

The mission of ICPD is to harness the power of every individual through whole-community planning, education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to the threats of terrorism, crime, public health issues, and disasters of all kinds. This mission is accomplished through a national network of State, local, and tribal Citizen Corps Councils, and partner programs such as the Community Emergency Response Teams (CERT). Citizen Corps Councils build on community strengths from all sectors to engage community leaders, organizations and the public with government in whole-community planning and integration of nontraditional resources for all-hazards preparedness, and community resilience. Citizen Corps Partner Programs such as CERT, Medical Reserve Corps, and Volunteers in Police Service and Affiliates such as the American Red Cross and National Voluntary Organizations Active in Disasters promote and implement the joint mission to educate and train citizens for active roles in community preparedness including prevention, protection, mitigation, response, and recovery.

## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** PPA Adjustments  
 PPA: National Preparedness Grant Program  
 First Responder Assistance Programs  
 Management and Administration  
 Program Increase: Positions 0.0, FTE 0.0, Dollars \$483,986

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							907	876	1,396,226
Program Increase							-	-	483,986
<b>Total Request</b>	-	-	<b>2,095,867</b>	<b>94</b>	<b>93</b>	<b>1,265,403</b>	<b>907</b>	<b>876</b>	<b>1,880,212</b>

**Description of Item**

FEMA requests \$1,540,908,000 in FY 2013 for the NPGP PPA; \$60,000,000 for Training Partnership Grants under the FRAP PPA; and \$279,304,000 under the Management and Administration (SLP M&A) PPA.

**Justification**

FEMA’s FY 2013 budget for SLP has been revised to reflect a new structure and adjusted program funding levels. The new account structure for the SLP appropriation is now divided into three new categories: the NPGP, FRAP, and SLP M&A. FEMA proposes to consolidate its current preparedness grant programs into a comprehensive preparedness grant program - NPGP. EMPG and AFG (shown separately below) will be reflected under the FRAP PPA. NPGP will require grantees to develop and sustain core capabilities outlined in the National Preparedness Goal rather than requiring grantees to meet mandates from multiple individual, and often disconnected, grant programs. This also will streamline the grant process while taking into account both local requirements and contributions to national capabilities.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Emergency Management Performance Grants  
PPA: First Responder Assistance Programs  
Program Increase: Positions 0.0, FTE 0.0, Dollars \$10,500.0

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	339,500
Program Increase							-	-	10,500
<b>Total Request</b>	<b>15</b>	<b>15</b>	<b>339,004</b>	<b>15</b>	<b>15</b>	<b>350,000</b>	<b>-</b>	<b>-</b>	<b>350,000</b>

**Description of Item**

DHS requests \$350,000,000 in FY 2013 for EMPG under the FRAP PPA.

**Justification**

Historically, DHS has requested a percentage of EMPG funding be made available for the management and administration of the grants. For FY 2013, DHS requests that this funding and associated positions be moved to the SLP M&A PPA and to increase available grant funding by that same amount. While the appropriated amount would not change, the amount available to award as grants would increase by \$10.5 million.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** Firefighter Assistance Grants  
PPA: First Responder Assistance Programs  
Program Increase: Positions 0.0, FTE 0.0, Dollars \$28,750.0

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	641,250
Program Increase							-	-	28,750
<b>Total Request</b>	-	-	<b>782,805</b>	<b>81</b>	<b>81</b>	<b>675,000</b>	-	-	<b>670,000</b>

**Description of Item**

DHS requests \$670,000,000 in FY 2013 for AFG under the FRAP PPA.

**Justification**

Historically, DHS has requested a percentage of AFG funding be made available for the management and administration of the grants. For FY 2013, DHS requests that this funding and associated positions be moved to the SLP M&A PPA and to increase available grant funding. While the appropriated amount would decrease by \$5 million, the amount available to award as grants would increase by \$28.8 million.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

For grants, contracts, cooperative agreements, and other activities, [\$1,349,681,000] \$2,900,212,000 shall be allocated as follows[, which shall be distributed, according to threat, vulnerability, and consequence, at the discretion of the Secretary of Homeland Security based on the following authorities]:

[(1) The State Homeland Security Grant Program under section 2004 of the Homeland Security Act of 2002 (6 U.S.C. 605): *Provided*, That notwithstanding subsection (c)(4) of such section 2004, for fiscal year 2012, the Commonwealth of Puerto Rico shall make available to local and tribal governments amounts provided to the Commonwealth of Puerto Rico under this paragraph in accordance with subsection (c)(1) of such section 2004.]

[(2) The Urban Area Security Initiative under section 2003 of the Homeland Security Act of 2002 (6 U.S.C. 604).]

[(3) The Metropolitan Medical Response System under section 635 of the Post-Katrina Emergency Management Reform Act of 2006 (6 U.S.C. 723).]

[(4) The Citizen Corps Program.]

[(5) Public Transportation Security Assistance and Railroad Security Assistance, under sections 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (6 U.S.C. 1135 and 1163), including Amtrak security: *Provided*, That such public transportation security assistance shall be provided directly to public transportation agencies.]

[(6) Over-the-Road Bus Security Assistance under section 1532 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (6 U.S.C. 1182).]

[(7) Port Security Grants in accordance with 46 U.S.C. 70107.]

[(8) The Driver's License Security Grants Program in accordance with section 204 of the REAL ID Act of 2005 (49 U.S.C. 30301 note).]

[(9) The Interoperable Emergency Communications Grant Program under section 1809 of the Homeland Security Act of 2002 (6 U.S.C. 579).]

[(10) Emergency Operations Centers under section 614 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5196c).]

[(11) Buffer Zone Protection Program Grants.]

[(12) Organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax section 501(a) of such code) determined by the Secretary to be at high risk of a terrorist attack:]

*(1) \$1,540,908,000 shall be for the National Preparedness Grant Program for the purpose of achieving the National Preparedness Goal: Provided, That grants may be awarded on a competitive basis to achieve the National Preparedness Goal through the protection of critical infrastructure and key resources, the development and sustainment of capabilities, including nationally deployable resources to prevent and protect against terrorism and to respond to, recover from, and mitigate against all hazards: Provided further, That any grant made under the National Preparedness Grant Program, to the extent possible, be based on effectiveness determinations and threat and hazard identification and risk assessments: Provided further, That grants made under the National Preparedness Grant Program may provide a minimum allocation of funding to each state and territory, including the District of Columbia;*



(2) \$670,000,000, to remain available until September 30, 2014, shall be for necessary expenses for programs authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.), of which \$335,000,000 shall be available to carry out section 33 of that Act (15 U.S.C. 2229 et seq.) and of which \$335,000,000 shall be available to carry out section 34 of that Act (15 U.S.C. 2229a): Provided, That, in making such grants, the Secretary may grant waivers from the requirements in subsections (a)(1)(A), (a)(1)(B), (a)(1)(E), (c)(1), (c)(2), and (c)(4)(A) of section 34 of that Act (15 U.S.C. 2229a);

(3) \$350,000,000 shall be available for necessary expenses for emergency management performance grants, as authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 7701 et seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.);

(4) \$60,000,000 shall be for Training Partnership Grants for the purpose of achieving the National Preparedness Goal: Provided, That any grant be awarded based on the result of full and open competition; and

(5) An amount not to exceed \$279,304,000 shall be transferred to the Federal Emergency Management Agency "Salaries and Expenses" account for management and administration of the grant programs, to include salaries and expenses, training, exercises, and technical assistance:

*Provided*, [That of the amount provided under this heading, \$50,000,000 shall be for Operation Stonegarden and no less than \$100,000,000 shall be for areas at the highest threat of a terrorist attack: *Provided further*, That \$231,681,000 shall be for training, exercises, technical assistance, and other programs, of which \$155,500,000 shall be for training of State, local, and tribal emergency response providers: *Provided further*,] That for grants under [paragraphs] *paragraph* (1) [through (12)], applications for grants shall be made available to eligible applicants not later than 60 days after the date of enactment of this Act, that eligible applicants shall submit applications not later than 80 days after the grant announcement, and the Administrator of the Federal Emergency Management Agency shall act within 65 days after the receipt of an application: *Provided further*, That notwithstanding section 2008(a)(11) of the Homeland Security Act of 2002 (6 U.S.C. 609(a)(11)), or any other provision of law, a grantee may use not more than 5 percent of the amount of a grant made available under this heading for expenses directly related to administration of the grant: [*Provided further*, That 6.8 percent of the amounts provided under this heading shall be transferred to the Federal Emergency Management Agency "Salaries and Expenses" account for program administration: *Provided further*, That for grants under paragraphs (1) and (2), the installation of communication towers is not considered construction of a building or other physical facility:] *Provided further*, That grantees shall provide reports on their use of funds, as determined necessary by the Secretary of Homeland Security: *Provided further*, That in fiscal year [2012] 2013: (a) the Center for Domestic Preparedness may provide training to emergency response providers from the Federal Government, foreign governments, or private entities, if the Center for Domestic Preparedness is reimbursed for the cost of such training, and any reimbursement under this subsection shall be credited to the account from which the expenditure being reimbursed was made and shall be available, without fiscal year limitation, for the purposes for which amounts in the account may be expended; (b) the head of the Center for Domestic Preparedness shall ensure that any training provided under (a) does not interfere with the primary mission of the Center to train state and local emergency response providers; and (c) subject to (b), nothing in (a) prohibits the Center for Domestic Preparedness from providing training to employees of the Federal Emergency Management Agency in existing chemical, biological, radiological, nuclear, explosives, mass casualty, and medical surge courses pursuant to 5 U.S.C. 4103 without reimbursement for the cost of such training.

#### [FIREFIGHTER ASSISTANCE GRANTS]

[For necessary expenses for programs authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.), \$675,000,000, to remain available until September 30, 2013, of which \$337,500,000 shall be available to carry out section 33 of that Act (15 U.S.C. 2229) and \$337,500,000 shall be available to carry out section 34 of that Act (15 U.S.C. 2229a): *Provided*, That not to exceed 5 percent of the amount available under this heading shall be available for program administration.]

#### [EMERGENCY MANAGEMENT PERFORMANCE GRANTS]

[For necessary expenses for emergency management performance grants, as authorized by the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of

1978 (5 U.S.C. App.), \$350,000,000: *Provided*, That total administrative costs shall not exceed 3 percent of the total amount appropriated under this heading].

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>55</b>	<b>55</b>	<b>3,217,676</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>190</b>	<b>181</b>	<b>2,290,403</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
SALP S&B Executed in FEMA's S&E Approp.	717	695	72,875
SALP Programs Executed in FEMA's S&E Approp.	-	-	72,710
2013 pay increase	-	-	240
<b>Total, Increases</b>	<b>717</b>	<b>695</b>	<b>145,825</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Management Efficiencies	-	-	(15,002)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(15,002)</b>
<b>Total, Adjustments-to-Base</b>	<b>717</b>	<b>695</b>	<b>130,823</b>
<b>FY 2013 Current Services</b>	<b>907</b>	<b>876</b>	<b>2,421,226</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
National Preparedness Grant Programs	-	-	1,540,908
Training Partnership Grants	-	-	60,000
Center for Domestic Preparedness	-	-	750
Firefighter Assistance Grants	-	-	28,750
Emergency Management Performance Grants	-	-	10,500
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>1,640,908</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
State and Local Program Grants	-	-	(1,041,976)
National Domestic Preparedness Consortium	-	-	(86,676)
Continuing Training Grants	-	-	(23,994)
National Security Special Events	-	-	(7,500)
National Exercise Program	-	-	(1,776)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(1,161,922)</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>478,986</b>
<b>FY 2013 Requested Budget Authority</b>	<b>907</b>	<b>876</b>	<b>2,900,212</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>717</b>	<b>695</b>	<b>609,809</b>

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	55	55	3,217,676
<b>FY 2012 Enacted Budget Authority</b>	190	181	2,290,403
<b>Adjustments-to-Base</b>	-	-	-
Increases	717	695	145,825
Decreases	-	-	(15,002)
<b>Total, Adjustments-to-Base</b>	717	695	130,823
<b>FY 2013 Current Services</b>	907	876	2,421,226
<b>Program Changes</b>	-	-	-
Increases	-	-	1,640,908
Decreases	-	-	(1,161,922)
<b>Total, Program Changes</b>	717	687	478,986
<b>FY 2013 Requested Budget Authority</b>	907	876	2,900,212
<b>FY 2012 to FY 2013 Total Change</b>	717	695	609,809

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
State and Local Program Grants	-	-	1,049,476	-	-	-	-	-	(1,049,476)	-	-	-	-	-	(1,049,476)
National Preparedness Grant Program	-	-	-	-	-	-	-	-	1,540,908	-	-	1,540,908	-	-	1,540,908
First Responder Assistance Programs	96	88	1,025,000	(96)	(88)	(44,250)	-	-	99,250	-	-	1,080,000	(96)	(96)	55,000
Education, Training and Exercises	94	93	215,927	(94)	(93)	(215,927)	-	-	-	-	-	-	(94)	(93)	(215,927)
Management and Administration	-	-	-	907	876	391,000	-	-	(111,696)	907	876	279,304	907	876	279,304
<b>Total</b>	<b>190</b>	<b>181</b>	<b>2,290,403</b>	<b>717</b>	<b>695</b>	<b>130,823</b>	<b>-</b>	<b>-</b>	<b>478,986</b>	<b>907</b>	<b>876</b>	<b>2,900,212</b>	<b>717</b>	<b>687</b>	<b>609,809</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS - US Citizenship & Immigration Service (CIS)	-	-	28,500	-	-	-	-	-	-	-	-	-
Department of Commerce	-	-	2,975	-	-	-	-	-	-	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>31,475</b>	-	-	-	-	-	-	-	-	-

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
<b>Total Obligations</b>	-	-	<b>31,475</b>	-	-	-	-	-	-	-	-	-

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,497	17,379	73,359	55,980
11.5 Other personnel compensation	111	99	733	634
12.1 Benefits	367	3,491	30,707	27,216
<b>Total, Personnel and Other Compensation Benefits</b>	<b>1,975</b>	<b>20,969</b>	<b>104,799</b>	<b>83,830</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	5,151	7,470	11,884	4,414
22.0 Transportation of things	100	165	165	-
23.1 GSA rent	125	661	5,326	4,665
23.3 Communications, utilities, and misc. charges	3,832	2,709	2,805	96
24.0 Printing	1,050	1	160	159
25.1 Advisory and assistance services	88	-	1,018	1,018
25.2 Other services	11,336	104,688	145,662	40,974
25.3 Purchases from Gov't accts.	149,110	502	-	(502)
25.7 Operation and maintenance of equipment	2,437	6,466	-	(6,466)
26.0 Supplies and materials	449	1,014	1,209	195
31.0 Equipment	2,883	2,849	2,026	(823)
41.0 Grants/Subsidies/Contributions	3,039,140	2,263,145	2,603,908	340,763
<b>Total, Other Object Classes</b>	<b>3,215,701</b>	<b>2,389,670</b>	<b>2,774,163</b>	<b>384,493</b>
<b>Total, Direct Obligations</b>	<b>3,217,676</b>	<b>2,410,639</b>	<b>2,878,962</b>	<b>468,323</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	641,250	670,000	28,750
Unobligated balance, start of year	-	(761,486)	(648,750)	120,236
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(120,236)</b>	<b>21,250</b>	<b>148,986</b>
<b>Total Requirements</b>	<b>3,217,676</b>	<b>2,290,403</b>	<b>2,900,212</b>	<b>617,309</b>
<b>Full-time Equivalents</b>	<b>55</b>	<b>181</b>	<b>876</b>	<b>695</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	-	2	12	10
GS-15	1	6	59	53
GS-14	8	25	148	123
GS-13	25	96	385	289
GS-12	13	31	141	110
GS-11	1	4	57	53
GS-9	2	9	56	47
GS-8	-	1	7	6
GS-7	4	11	31	20
GS-6	-	1	5	4
GS-5	1	4	5	1
GS-4	-	-	1	1
<b>Total Permanent Positions</b>	<b>55</b>	<b>190</b>	<b>907</b>	<b>717</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	55	190	907	717
Headquarters	40	154	672	518
U.S. Field	15	36	235	199
<b>Total, State and Local Programs</b>	<b>55</b>	<b>190</b>	<b>907</b>	<b>717</b>
<b>Full-time Equivalent</b>	<b>55</b>	<b>181</b>	<b>876</b>	<b>695</b>
Average ES Salary	160,000	160,000	160,800	800
Average GS Salary	99,827	97,428	97,915	487
Average Grade	13	12	12	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**



## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
State and Local Program Grants  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
Personnel and Compensation Benefits	-	-	-	-
Other Object Classes	-	-	-	-
41.0 Grants/Subsidies/Contributions	1,861,994	1,049,476	-	(1,049,476)
<b>Total, Other Object Classes</b>	<b>1,861,994</b>	<b>1,049,476</b>	-	<b>(1,049,476)</b>
Adjustments	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,861,994</b>	<b>1,049,476</b>	-	<b>(1,049,476)</b>
Full-time Equivalents	-	-	-	-

### State and Local Program Grants Mission Statement

This program provides resources to support preparedness projects that build State and local capabilities as outlined in the National Preparedness guidelines, the Target Capabilities List, and the National Strategy for Homeland Security of 2007.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
National Preparedness Grants Program  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
41.0 Grants/Subsidies/Contributions	-	-	1,540,908	1,540,908
<b>Total, Other Object Classes</b>	-	-	<b>1,540,908</b>	<b>1,540,908</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>1,540,908</b>	<b>1,540,908</b>
<b>Full-time Equivalents</b>	-	-	-	-

**National Preparedness Grants Program Mission Statement**

To support the National Preparedness Goal, the National Preparedness Grant Program (NPGP) is a new comprehensive grants program designed to develop, sustain, and leverage core capabilities across the country in support of national preparedness, prevention, and response. The NPGP also will streamline the grant process while taking into account both local requirements and contributions to national capabilities.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Emergency Management Performance Grants  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,474	1,474	-	(1,474)
11.5 Other personnel compensation	19	19	-	(19)
12.1 Benefits	359	359	-	(359)
<b>Total, Personnel and Compensation Benefits</b>	<b>1,852</b>	<b>1,852</b>	-	<b>(1,852)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	204	294	-	(294)
23.1 GSA rent	125	124	-	(124)
23.3 Communications, utilities, and misc. charges	49	49	-	(49)
25.1 Advisory and assistance services	88	-	-	-
25.2 Other services	5,754	5,598	-	(5,598)
25.3 Purchases from Gov't accts.	607	502	-	(502)
25.7 Operation and maintenance of equipment	1,373	2,077	-	(2,077)
26.0 Supplies and materials	-	1	-	(1)
31.0 Equipment	24	3	-	(3)
41.0 Grants/Subsidies/Contributions	328,928	339,500	350,000	10,500
<b>Total, Other Object Classes</b>	<b>337,152</b>	<b>348,148</b>	<b>350,000</b>	<b>1,852</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>339,004</b>	<b>350,000</b>	<b>350,000</b>	-
<b>Full-time Equivalent</b>	<b>15</b>	<b>15</b>	-	<b>(15)</b>

**Emergency Management Performance Grants Mission Statement**

EMPG is a formula grant provided to assist State and local governments to sustain and enhance the effectiveness of their emergency management program. Funds are provided to all 50 States and six territories as well as to the Federated States of Micronesia and the Republic of the Marshall Islands. FEMA provides States the flexibility to allocate funds according to risk and to address the most urgent State and local needs in disaster mitigation, preparedness, response, and recovery.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Firefighter Assistance Grants  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	23	9,436	-	(9,436)
11.5 Other personnel compensation	92	15	-	(15)
12.1 Benefits	8	424	-	(424)
<b>Total, Personnel and Compensation Benefits</b>	<b>123</b>	<b>9,875</b>	-	<b>(9,875)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	47	1,120	-	(1,120)
23.1 GSA rent	-	537	-	(537)
24.0 Printing	-	1	-	(1)
25.2 Other services	5,582	17,499	-	(17,499)
25.7 Operation and maintenance of equipment	1,064	4,389	-	(4,389)
26.0 Supplies and materials	9	319	-	(319)
31.0 Equipment	-	10	-	(10)
41.0 Grants/Subsidies/Contributions	775,980	761,486	641,250	(120,236)
<b>Total, Other Object Classes</b>	<b>782,682</b>	<b>785,361</b>	<b>641,250</b>	<b>(144,111)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(761,486)	(641,250)	120,236
Unobligated Balance, end of year	-	641,250	670,000	28,750
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(120,236)</b>	<b>28,750</b>	<b>148,986</b>
<b>Total Requirements</b>	<b>782,805</b>	<b>675,000</b>	<b>670,000</b>	<b>(5,000)</b>
<b>Full-time Equivalents</b>	-	73	-	(73)

**Firefighter Assistance Grants (AFG) Mission Statement**

The AFG program awards grants directly to fire departments and nonaffiliated emergency medical service (EMS) organizations throughout the United States to support one-year projects that improve the effectiveness and safety of the Nation's first responders in homeland security, firefighting, and EMS operations.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Training Partnership Grant  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
41.0 Grants/Subsidies/Contributions	-	-	60,000	60,000
<b>Total, Other Object Classes</b>	-	-	<b>60,000</b>	<b>60,000</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>60,000</b>	<b>60,000</b>
<b>Full-time Equivalents</b>	-	-	-	-

**Training Partnership Grant Mission Statement**

Training Partnership Grants will be awarded on a competitive basis to entities (e.g., State, local, tribal, and territorial governments; universities and higher education institutions; and nonprofits) that have demonstrable expertise and can develop/deliver training and education curricula relevant to the core capabilities in the National Preparedness Goal.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Education, Training, and Exercises  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	6,469	-	(6,469)
11.5 Other personnel compensation	-	65	-	(65)
12.1 Benefits	-	2,708	-	(2,708)
<b>Total, Personnel and Compensation Benefits</b>	-	<b>9,242</b>	-	<b>(9,242)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,900	6,056	-	(6,056)
22.0 Transportation of things	100	165	-	(165)
23.3 Communications, utilities, and misc. charges	3,783	2,660	-	(2,660)
24.0 Printing	1,050	-	-	-
25.2 Other services	148,503	81,591	-	(81,591)
26.0 Supplies and materials	440	694	-	(694)
31.0 Equipment	2,859	2,836	-	(2,836)
41.0 Grants/Subsidies/Contributions	72,238	112,683	-	(112,683)
<b>Total, Other Object Classes</b>	<b>233,873</b>	<b>206,685</b>	-	<b>(206,685)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>233,873</b>	<b>215,927</b>	-	<b>(215,927)</b>
<b>Full-time Equivalents</b>	-	<b>93</b>	-	<b>(93)</b>

**Education, Training, and Exercises Mission Statement**

This PPA includes both salaries and benefits and operating expenses for activities under the purview of FEMA's Grants Program Directorate (GPD) and National Preparedness Directorate (NPD). In addition, this PPA funds the salaries and benefits for headquarters and regional staff, travel, rent, printing and supplies, related preparedness activities, administration activities, and contributions to the DHS Working Capital Fund.

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Management and Administration**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	73,359	73,359
11.5 Other personnel compensation	-	-	733	733
12.1 Benefits	-	-	30,707	30,707
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>77,162</b>	<b>77,162</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	11,884	11,884
22.0 Transportation of things	-	-	165	165
23.1 GSA Rent	-	-	5,326	5,326
23.3 Communications, utilities, and misc. charges	-	-	2,805	2,805
24.0 Printing	-	-	160	160
25.1 Advisory & Assistance Services	-	-	1,018	1,018
25.2 Other services	-	-	145,662	145,662
26.0 Supplies and materials	-	-	1,209	1,209
31.0 Equipment	-	-	2,026	2,026
41.0 Grants/Subsidies/Contributions	-	-	4,250	4,250
<b>Total, Other Object Classes</b>	-	-	<b>279,304</b>	<b>279,304</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>279,304</b>	<b>279,304</b>
<b>Full-time Equivalent</b>	-	-	<b>876</b>	<b>876</b>

**Management and Administration Mission Statement**

This PPA includes both salaries and benefits and operating expenses for activities under the purview of FEMA's GPD and NPD. In addition, this PPA funds the salaries and benefits for headquarters and regional staff, travel, rent, printing and supplies, related preparedness activities, administration activities, and contributions to the DHS Working Capital Fund.

## I. Changes in Full-time Employment

**Department of Homeland Security  
Federal Emergency Management Agency  
State and Local Programs  
Changes in Full-time Equivalent**

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	55	55	181
<b>Increases</b>			
Movement of personnel back into SALP appropriation		126	695
DHS Balance Workforce Strategy			
<b>Decreases</b>	-	-	-
<b>Year End Actual / Estimated FTEs:</b>	<b>55</b>	<b>181</b>	<b>876</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	-	126	695



## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Emergency Management Performance Grants	\$41	\$46	0	-\$46
Firefighter Assistance Grants	0	200	0	-200
Management and Administration	0	0	\$2,674	2,674
<b>Total Working Capital Fund</b>	<b>41</b>	<b>246</b>	<b>2,674</b>	<b>2,428</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high-performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience, and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment, the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

Included within the 2013 Budget, the DHS requests \$8 million and 221 full-time permanent positions for the FY 2011 - FY 2013 DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE
Grant Management Specialist							19	19			19	19
EHP Specialist							5	5			5	5
Congressional Specialist							1	1			1	1
Program Analyst							52	52			52	52
Fire Grant Specialist							8	8			8	8
Admin Specialist							2	2			2	2
Training Specialist							1	1			1	1
Webmaster							2	2			2	2
System Administrator							1	1			1	1
Training Technician							11	11			11	11
Supervisory Training Technician							1	1			1	1
Higher Education Coordinator							2	2			2	2
Administrative Assistant			3	3			1	1			4	4
Administrative Specialist							8	8			8	8
Training Needs Analysis and Research Analyst			4	4							4	4
Training Evaluation Specialist			2	2							2	2
Network/VOIP Specialist			1	1							1	1
IT Manager			1	1							1	1
Supply Technician			3	3							3	3
Occupational Health Nurse			1	1							1	1
Multi-Media Specialist			2	2							2	2
Junior Instructional Systems Designer/Program Specialist			3	3							3	3
Training Specialist (SME)– Chemical			1	1							1	1

**Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

FEMA requests \$8 million to support the salaries and benefits of the 221 positions established through the FY 2011-2013 DHS Balanced Workforce Strategy. FEMA has identified 37 contracts under Protection and National Preparedness that will be either terminated or reduced as a result of in-sourcing. Funding for these positions is included in the amount transferred to and reported under FEMA's Management and Administration appropriation.

**Department of  
Homeland Security**  
*Federal Emergency Management Agency  
Radiological Emergency Preparedness*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Emergency Management Agency Radiological Emergency Preparedness**

### **I. Appropriation Overview**

#### **A. Mission Statement for Radiological Emergency Preparedness**

The Radiological Emergency Preparedness Program (REPP) assists State, tribal, and local governments in the development and conduct of offsite radiological emergency preparedness plans within the emergency planning zones of Nuclear Regulatory Commission (NRC) licensees of commercial nuclear power facilities. REPP's historical success lies in its ability to integrate and enhance Federal, State, tribal, and local governments' preparedness planning and response capabilities for all types of radiological emergencies. REPP is responsible for recovering 100 percent of funds for anticipated REPP activities that are generated through user fees charged to each participating reactor licensee. Funds that are available for obligation in a given year rely on the level of collections received in the prior fiscal year.

#### **B. Budget Activities:**

FEMA requests budget authority in FY 2013 to:

- In conjunction with State, tribal, local, and industry officials, ensure that all elements of required levels of 'reasonable assurance' for public safety determination are gained and maintained relating to operating nuclear power generating stations.
- Conduct joint FEMA/NRC rulemaking and policy development activities as they relate to offsite planning and preparedness, to include implementing Presidential Policy Directive (PPD)-8.
- Educate Federal, state, tribal, and local stakeholders on refined or newly developed REPP guidance and how it should be incorporated into REPP plans and exercise programs.
- Leverage and integrate expertise and capabilities from the Department of Homeland Security (DHS)/National Protection and Programs' Infrastructure Protection (IP), and FEMA's Response, Recovery, Mitigation, External Affairs, and Protection and National Preparedness components to better enhance FEMA's posture when responding to incidents involving REPP communities.
- Conduct necessary offsite planning and preparedness reviews pertaining to proposed new reactor licensing and construction efforts.
- Conduct radiological training courses for Federal, State, tribal, and local emergency planning, preparedness and response personnel.
- Maintain an integrated network system to aid Federal, State, tribal, and local emergency response providers in preparedness, planning, training, and exercising.
- Collaborate and coordinate with the Integrated Public Alert and Warning System in the development of related guidance.
- Maintain the functionality of the Federal Radiological Preparedness Coordinating Committee (FRPCC) as a coordinating body for radiological preparedness across the Federal Government.
- Integrate lessons learned and corrective actions from the Japan Fukushima disaster.

**C. Budget Request Summary:**

In FY 2012, REPP realized program efficiencies that resulted in an overall decrease in program requirements of \$932,000. This amount was credited back to Nuclear Regulatory Commission (NRC) licensees as an offset to its FY 2013 offsetting collections.

REPP estimates 2013 offsetting collection authority to be \$38.7 million. This represents anticipated fee authority of (\$1.4) million.



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Radiological Emergency Preparedness**  
 Summary of FY 2013 Budget Estimates by Program/Project Activity

FY 2013 Request  
 (Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount
Radiological Emergency Preparedness	170	153	36,587	170	170	37,131	170	170	(1,443)	-	-	(38,574)	-	-	(38,743)	-	-	169
<b>Subtotal, Mandatory</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Subtotal, Discretionary</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total, Radiological Emergency Preparedness</b>	<b>170</b>	<b>153</b>	<b>36,587</b>	<b>170</b>	<b>170</b>	<b>37,131</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>	<b>-</b>	<b>-</b>	<b>(38,574)</b>	<b>-</b>	<b>-</b>	<b>(38,743)</b>	<b>-</b>	<b>-</b>	<b>169</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>170</b>	<b>153</b>	<b>36,587</b>	<b>170</b>	<b>170</b>	<b>37,131</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>	<b>-</b>	<b>-</b>	<b>(38,574)</b>	<b>-</b>	<b>-</b>	<b>(38,743)</b>	<b>-</b>	<b>-</b>	<b>169</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>170</b>	<b>153</b>	<b>36,587</b>	<b>170</b>	<b>170</b>	<b>37,131</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>	<b>-</b>	<b>-</b>	<b>(38,574)</b>	<b>-</b>	<b>-</b>	<b>(38,743)</b>	<b>-</b>	<b>-</b>	<b>169</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Radiological Emergency Preparedness**  
**Radiological Emergency Preparedness**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Radiological Emergency Preparedness**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>170</b>	<b>153</b>	<b>36,587</b>
<b>2012 Enacted</b>	<b>170</b>	<b>170</b>	<b>37,131</b>
2013 Adjustments-to-Base	-	-	169
<b>2013 Current Services</b>	<b>170</b>	<b>170</b>	<b>37,300</b>
2013 Program Change	-	-	(38,743)
<b>2013 Total Request</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>
Total Change 2012 to 2013	-	-	(38,574)

FEMA requests to utilize \$37.3 million in FY 2012 offsetting collections for FY 2013 operating expenses in support of REPP. This funding will support 170 positions and provide for FY 2013 program costs.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Drills and Exercises:

REPP conducts and evaluates exercises and drills in the communities surrounding commercial nuclear power plants. In FY 2013, REPP will support and evaluate approximately 30 biennial exercises in the states and counties within the Emergency Planning Zones of NRC licensees of commercial nuclear power plant facilities. REPP is developing a human capital utilization policy document that will allow REPP to leverage its Federal staff experience and decrease the reliance on contractors, thus reducing costs for this activity.

Ongoing terrorism-based drills continue to increase REPP’s nuclear and radiological preparedness responsibilities. REPP also actively supports other FEMA, DHS, Department of Defense, and Federal partners involved in improvised nuclear device (IND) and radiological dispersal device (RDD) planning and exercises, as these programs share common elements with REPP’s primary mission.

#### New Reactor Licensing Process:

The New Reactor Licensing Program is a joint effort between the FEMA and the NRC. Both organizations share a common objective of maximizing public health and safety through the evaluation of emergency plans and conduct a qualifying exercise prior to start up of proposed new reactor applicants. This ensures that during the process of constructing new reactors and prior to any power generation, there is “reasonable assurance” that both onsite and offsite personnel can take the appropriate protective measures to protect public health and safety.

#### Rulemaking and Policy Development:

REPP conducts joint FEMA/NRC rulemaking and policy development activities as they relate to offsite planning and preparedness. The REPP Policy and Regulations Unit is responsible for developing and improving regulations, policy, and guidance that enhance planning, preparedness, response, and recovery for Federal, State, tribal, and local governments and the private sector with respect to the offsite consequences of commercial nuclear power plant emergencies. Major REPP policy and guidance activities in FY 2013 will center around PPD-8 and enhancing integrated public alert and warning systems.

#### Radiological Emergency Preparedness Training Curriculum:

REPP developed and continues to employ a robust professional development path to assist FEMA Headquarters and Regional staff and REPP partners in their emergency preparedness planning and training. This was accomplished by creating, managing, and maintaining a high-quality national level training program throughout the country. To support this training program, REPP developed a cadre of Federal employee instructors to deliver training courses to its stakeholders while reducing its dependence on contractors.

#### Federal Radiological Preparedness Coordinating Committee:

The FRPCC, some of whose functions are funded by REPP user fee collections, coordinates the activities of Federal agencies with responsibilities in the radiological emergency planning and preparedness process. The FRPCC serves as a radiological information clearinghouse between Federal departments and agencies. The FRPCC oversees several subcommittees, including (1) Federal Response, (2) Offsite Instrumentation, (3) Environment/Food/Health, (4) Training and Exercises, (5) Protective Action Guides, and (6) Public Information, among others. These subcommittees are chaired by the Federal agency with principal responsibility for the given mission area. The FRPCC is also responsible for updating the Nuclear/Radiological Incident Annex of the National Response Framework. A major FY 2013 activity will be continuing to work on developing a single Federal guidance document containing a unified message strategy and pre-scripted messages for use during nuclear power plant incidents. Incorporation of this guidance document into State, tribal, and local REPP plans will occur after incorporating feedback from stakeholders.

#### REPP- Homeland Security Exercise and Evaluation Program (HSEEP) Integration:

REPP will continue to assist State, tribal, and local governments in implementing HSEEP into their exercises and drill programs.

#### Other REPP Responsibilities:

REPP works on several other initiatives for programs that have common elements with REPP's primary mission. This includes supporting other FEMA, DHS, and Federal partners in (IND/RDD)

planning and exercises; integrating PPD-8, National Incident Management System and HSEEP guidelines; developing new guidance and policy to address the next generation of reactor technology (Small Modular Reactors, along with the NRC); updating risk communications; and incorporating new alert and notification technology into REPP regulations and policies.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
Appropriation Language**

*The aggregate charges assessed during fiscal year [2012] 2013, as authorized in title III of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999 (42 U.S.C. 5196e), shall not be less than 100 percent of the amounts anticipated by the Department of Homeland Security necessary for its radiological emergency preparedness program for the next fiscal year: Provided, That the methodology for assessment and collection of fees shall be fair and equitable and shall reflect costs of providing such services, including administrative costs of collecting such fees: Provided further, That fees received under this heading shall be deposited in this account as offsetting collections and will become available for authorized purposes on October 1, [2012] 2013, and remain available until [expended] September 30, 2015.*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	<b>170</b>	<b>153</b>	<b>36,587</b>
<b>FY 2012 Enacted</b>	<b>170</b>	<b>170</b>	<b>37,131</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	-	-	79
Nonpay inflation excluding GSA Rent	-	-	52
Operating Expenses	-	-	50
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>181</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
GSA Rent	-	-	(12)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(12)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>169</b>
<b>FY 2013 Current Services</b>	<b>170</b>	<b>170</b>	<b>37,300</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Offsetting Collections precluded from obligation before October 1, 2013	-	-	(38,743)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(38,743)</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>(38,743)</b>
<b>FY 2013 Request</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>
<b>Offsetting Collections</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>(38,574)</b>

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
Summary of Requirements  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	170	153	36,587
<b>FY 2012 Enacted</b>	170	170	37,131
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	181
Decreases	-	-	(12)
<b>Total, Adjustments-to-Base</b>	-	-	169
<b>FY 2013 Current Services</b>	170	170	37,300
<b>Program Changes</b>	-	-	-
Decreases	-	-	(38,743)
<b>Total, Program Changes</b>	-	-	(38,743)
<b>FY 2013 Request</b>	170	170	(1,443)
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(38,574)

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Radiological Emergency Preparedness	170	170	37,131	-	-	169	-	-	(38,743)	170	170	(1,443)	-	-	(38,574)
<b>Total</b>	<b>170</b>	<b>170</b>	<b>37,131</b>	<b>-</b>	<b>-</b>	<b>169</b>	<b>-</b>	<b>-</b>	<b>(38,743)</b>	<b>170</b>	<b>170</b>	<b>(1,443)</b>	<b>-</b>	<b>-</b>	<b>(38,574)</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Department of Army (CSEPP)	30	22	62,598	26	26	52,000	24	24	31,700	(2)	(2)	(20,300)
<b>Total Budgetary Resources</b>	<b>30</b>	<b>22</b>	<b>62,598</b>	<b>26</b>	<b>26</b>	<b>52,000</b>	<b>24</b>	<b>24</b>	<b>31,700</b>	<b>(2)</b>	<b>(2)</b>	<b>(20,300)</b>

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project/Activity:</b>												
Chemical Stockpile Emergency Preparedness Program (CSEPP)	30	22	62,598	26	26	52,000	24	24	31,700	(2)	(2)	(20,300)
<b>Total Obligations</b>	<b>30</b>	<b>22</b>	<b>62,598</b>	<b>26</b>	<b>26</b>	<b>52,000</b>	<b>24</b>	<b>24</b>	<b>31,700</b>	<b>(2)</b>	<b>(2)</b>	<b>(20,300)</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	14,085	15,571	15,650	79
11.5 Other personnel compensation	605	158	158	-
12.1 Benefits	4,481	5,356	5,356	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>19,171</b>	<b>21,085</b>	<b>21,164</b>	<b>79</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,333	4,611	4,611	-
22.0 Transportation of things	1	39	39	-
23.1 GSA rent	1,438	1,405	1,393	(12)
23.2 Other rent	3	-	-	-
23.3 Communications, utilities, and misc. charges	811	1,759	1,759	-
24.0 Printing	16	72	72	-
25.1 Advisory and assistance services	196	10,001	3,830	(6,171)
25.2 Other services	11,151	1,664	1,664	-
25.3 Purchases from Gov't accts.	896	2,228	2,228	-
25.4 O&M of facilities	52	-	-	-
25.7 Operation and maintenance of equipment	87	17	17	-
25.8 Subsistence & Support of persons	-	23	23	-
26.0 Supplies and materials	123	218	218	-
31.0 Equipment	309	543	543	-
<b>Total, Other Object Classes</b>	<b>17,416</b>	<b>22,580</b>	<b>16,397</b>	<b>(6,183)</b>
<b>Total, Direct Obligations</b>	<b>36,587</b>	<b>43,665</b>	<b>37,561</b>	<b>(6,104)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	261	-	(261)
Unobligated balance, start of year	-	(6,795)	(261)	6,534
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(6,534)</b>	<b>(261)</b>	<b>6,273</b>
<b>Total Requirements</b>	<b>36,587</b>	<b>37,131</b>	<b>37,300</b>	<b>169</b>
<b>Full-time Equivalents</b>	<b>153</b>	<b>170</b>	<b>170</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actuals	Enacted	Request	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	-
GS-15	14	14	14	-
GS-14	36	36	38	2
GS-13	86	86	85	(1)
GS-12	172	172	172	-
GS-11	4	4	4	-
GS-10	4	4	4	-
GS-9	6	6	5	(1)
GS-8	16	16	16	-
<b>Total Permanent Positions</b>	<b>340</b>	<b>340</b>	<b>340</b>	-
Unfilled Positions EOY	17	-	-	-
Total Permanent Employment EOY	323	340	340	-
Headquarters	148	148	116	(32)
U.S. Field	192	192	224	32
<b>Total, Radiological Emergency Preparedness:</b>	<b>340</b>	<b>340</b>	<b>340</b>	-
<b>Full-time Equivalents</b>	<b>153</b>	<b>170</b>	<b>170</b>	-
Average ES Salary	309,600	309,600	309,600	-
Average GS Salary	161,530	161,530	161,530	-
Average Grade	25	25	25	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
Radiological Emergency Preparedness  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	14,085	15,571	15,650	79
11.5 Other personnel compensation	605	158	158	-
12.1 Benefits	4,481	5,356	5,356	-
<b>Total, Personnel and Compensation Benefits</b>	<b>19,171</b>	<b>21,085</b>	<b>21,164</b>	<b>79</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,333	4,611	4,611	-
22.0 Transportation of things	1	39	39	-
23.1 GSA rent	1,438	1,405	1,393	(12)
23.2 Other rent	3	-	-	-
23.3 Communications, utilities, and misc. charges	811	1,759	1,759	-
24.0 Printing	16	72	72	-
25.1 Advisory and assistance services	196	10,001	3,830	(6,171)
25.2 Other services	11,151	1,664	1,664	-
25.3 Purchases from Gov't accts.	896	2,228	2,228	-
25.4 O&M of facilities	52	-	-	-
25.7 Operation and maintenance of equipment	87	17	17	-
25.8 Subsistence & Support of persons	-	23	23	-
26.0 Supplies and materials	123	218	218	-
31.0 Equipment	309	543	543	-
<b>Total, Other Object Classes</b>	<b>17,416</b>	<b>22,580</b>	<b>16,397</b>	<b>(6,183)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(6,795)	(261)	6,534
Unobligated Balance, end of year	-	261	-	(261)
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(6,534)</b>	<b>(261)</b>	<b>6,273</b>
<b>Total Requirements</b>	<b>36,587</b>	<b>37,131</b>	<b>37,300</b>	<b>169</b>
<b>Full-time Equivalents</b>	<b>153</b>	<b>170</b>	<b>170</b>	<b>-</b>

### Radiological Emergency Preparedness Mission Statement

The Radiological Emergency Preparedness Program (REPP) assists State, local, and tribal governments in the development of offsite radiological emergency preparedness plans within the emergency planning zones of Nuclear Regulatory Commission (NRC) licensees of commercial nuclear power facilities. The REPP fund is financed from user fees assessed and collected from NRC licensees to cover budgeted costs for radiological emergency planning, preparedness, and response activities in the following year.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	14,085	15,571	15,650	79
11.5 Other personnel compensation	605	158	158	-
12.1 Benefits	4,481	5,356	5,356	-
<b>Total, Salaries &amp; Benefits</b>	<b>19,171</b>	<b>21,085</b>	<b>21,164</b>	<b>79</b>

Salaries and Benefits supports 170 full-time permanent positions in FY 2013. FY 2013 includes a 0.5% increase in Salaries and Benefits.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,438</b>	<b>\$1,405</b>	<b>\$1,393</b>	<b>-\$12</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. FY 2013 includes a decrease of \$12,000 to reflect a decrease in actual rent costs.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$196</b>	<b>\$10,001</b>	<b>\$3,830</b>	<b>-\$6,171</b>

Advisory and assistance services include services acquired by contract from non-Federal sources as well as from other units within the Federal Government. FY 2013 includes a decrease of \$6,377,000 to account for obligation of nonrecurring costs and efficiencies.

# I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>153</b>	<b>153</b>	<b>170</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>153</b>	<b>153</b>	<b>170</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actuals Amount</b>	<b>FY 2012 Enacted Amount</b>	<b>FY 2013 Request Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Radiological Emergency Preparedness	\$573	\$524	\$571	\$47
<b>Total Working Capital Fund</b>	<b>573</b>	<b>524</b>	<b>571</b>	<b>47</b>



**K. DHS Balanced Workforce Strategy**

N/A

**Department of  
Homeland Security**  
*Federal Emergency Management Agency  
National Pre-disaster Mitigation Program*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Federal Emergency Management Agency National Pre-disaster Mitigation Fund**

#### **I. Appropriation Overview**

##### **A. Mission Statement:**

Section 203 (42 U.S.C. § 5133) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (P.L. 93-288) established a Federal program that provides “technical and financial assistance to State and local governments to assist in the implementation of pre-disaster hazard mitigation measures [e.g., property acquisition and elevation, minor localized flood mitigation measures, safe rooms, wildfire, seismic retrofit projects] that are cost-effective and designed to reduce injuries, loss of life, and damage and destruction of property...” The National Pre-disaster Mitigation (PDM) Fund was created under FEMA as the vehicle for disseminating these grants to State and local governments. Operating independently of the Disaster Relief Fund (DRF), which provides post-disaster mitigation funding, the PDM program offers a funding source for qualified mitigation activities that are not dependent upon a declaration of disaster activity by the President.

The PDM program supports the Administration’s movement to expand and improve the coordination of Federal efforts to incentivize State and local governments to plan for and implement pre-disaster mitigation strategies. Consistent with disaster recovery best practices, the budget supports efforts that increase community resiliency to disasters and other vulnerabilities.

##### **B. Budget Activities:**

PDM supports the DHS goal to strengthen capacity at all levels of society to withstand threats and hazards. PDM accomplishes this by providing technical assistance to applicants, which assists in the development of their projects in meeting eligibility criteria for Federal funding to State, territorial, local, and tribal governments. PDM supports the development and enhancement of hazard mitigation projects that involve physical measures to avoid and/or reduce damage from natural disasters.<sup>1</sup>

PDM funding provides grants to State, territorial, local, and tribal governments to reduce the risks associated with disasters. The program’s resources support the development and enhancement of hazard mitigation plans, as well as the implementation of pre-disaster mitigation projects. In 2013, through its PDM program, FEMA will continue to administer prior year grant awards for the completion of established projects and work aggressively to process grants already under review and will use recovered and returned funds to issue new grants.

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<sup>1</sup> Physical measures for the PDM program include property acquisition and elevation, minor localized flood control, safe-room construction, wildfire mitigation, seismic retrofit projects, dry floodproofing, retrofits of existing buildings and infrastructure, and soil stabilization.

**C. Budget Request Summary:**

FEMA proposes to eliminate funding for the PDM program in FY 2013. There is no impact from this reduction because of the duplication with other FEMA grant programs including the Hazard Mitigation Grant Program. Further, the program's unobligated balance of \$174.2 million (as of December 31, 2011) will enable the continued issuance, oversight, and closeout of grants until funding is depleted.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**National Pre-disaster Mitigation Fund**  
 Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Request  
 (Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount
National Pre-disaster Mitigation Fund	15	15	77,771	15	12	35,500	15	7	-	-	(5)	(35,500)	-	(5)	(35,507)	-	-	7
<b>Subtotal, Mandatory</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Subtotal, Discretionary</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total, National Pre-disaster Mitigation Fund</b>	15	15	77,771	15	12	35,500	15	7	-	-	(5)	(35,500)	-	(5)	(35,507)	-	-	7
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	15	15	77,771	15	12	35,500	15	7	-	-	(5)	(35,500)	-	(5)	(35,507)	-	-	7
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	15	15	77,771	15	12	35,500	15	7	-	-	(5)	(35,500)	-	(5)	(35,507)	-	-	7

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: National Pre-disaster Mitigation Fund**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>15</b>	<b>15</b>	<b>77,771</b>
<b>2012 Enacted</b>	<b>15</b>	<b>12</b>	<b>35,500</b>
2013 Adjustments-to-Base	-	-	7
<b>2013 Current Services</b>	<b>15</b>	<b>12</b>	<b>35,507</b>
2013 Program Change	-	(5)	(35,507)
<b>2013 Total Request</b>	<b>15</b>	<b>7</b>	<b>-</b>
Total Change 2012 to 2013	-	(5)	(35,500)

FEMA proposes to eliminate funding for the Pre-disaster Mitigation (PDM) program in FY 2013. This program will work to aggressively process grants already under review and will utilize recovered and returned funds to issue new grants.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The PDM program assisted State, territorial, local, and tribal governments in implementing cost-effective hazard mitigation activities that complemented a comprehensive mitigation program. This program provided funding resources for State, territorial, local, and tribal governments seeking to initiate or complete plans and projects that ensured a reduction in post-disaster natural hazard damages and immediate risk reduction to the population, to property, and for structures at risk from natural hazards, including critical facilities (e.g., water treatment plants, emergency operations centers, sewage treatment plants, and water pumping stations).

The PDM program supports efforts to raise risk awareness and reduce disaster losses before disasters strike. Grants are awarded to States, territories, tribal governments, and local communities for the purposes of hazard mitigation planning and hazard mitigation projects. Grants awarded for mitigation planning are limited in funding levels based on whether the application supported a new plan or

updates to an existing plan. Grants awarded to support mitigation projects must fall within one of the eligible activity categories.<sup>2</sup>

Grants for mitigation projects vary and included activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures.

Communities that participate in the PDM program are able to identify, plan for, and mitigate repetitive-loss situations that negatively impact their residents or present a threat to life and property. Grant proposals are subject to a National Evaluation Process (NEP) to score and rank applications. The NEP is comprised of peer reviewers that consisted of representatives from FEMA, States, and tribal and local governments. Approved projects go through an extensive review process. In addition, all applications are reviewed by technical experts to verify cost-effectiveness and engineering feasibility. FEMA reviews projects for compliance with applicable Federal environmental planning and historic preservation requirements, including National Environmental Policy Act, National Historic Preservation Act, Endangered Species Act, and Executive Orders 11988, 11990, and 12898. The final approved projects eliminate the risk of flooding, reinforce critical infrastructure to protect against damage during seismic events, or mitigate repetitive damage to homes in a flood-prone area.

It is anticipated final grant closeout and oversight will be completed in FY 2015. PDM positions will be reduced through natural attrition and reassigned to other mitigation programs through a phased approach through FY 2015.

FEMA proposes to utilize congressionally directed spending funds from FYs 2008, 2009, and 2010 for new grant awards when either the applicant informs FEMA that it does not intend to use the earmark funding or when an application for the funding is not submitted to FEMA within two years of the date of the appropriated funding.

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<sup>2</sup> Eligible activities for the PDM program include property acquisition and elevation, minor localized flood control, safe-room construction, wildfire mitigation, seismic retrofit projects, dry floodproofing, retrofits of existing buildings and infrastructure, soil stabilization, and hazard mitigation planning.



## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Competitive Grant Funding  
PPA:  
Program Decrease: Positions 0, FTE 0, Dollars \$(35,507)

Funding Profile

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							-	-	(35,507)
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>(35,507)-</b>

**Description of Item**

This represents an overall reduction of \$35,507 from FY 2012.

**Justification**

FEMA proposes to eliminate the PDM program in FY 2013. There is no impact from this reduction because of the duplication with other FEMA grant programs, including the Hazard Mitigation Grant Program. Further, the program’s unobligated balance of \$174.2 million (as of December 31, 2011) will enable the continued issuance, oversight, and closeout of grants until funding is depleted.

FEMA proposes to utilize congressionally directed spending funds from FYs 2008, 2009, and 2010 for new grant awards when either the applicant informs FEMA that it does not intend to use the earmark funding or when an application for the funding is not submitted to FEMA within two years of the date of the appropriated funding.

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

**Department of Homeland Security  
Federal Emergency Management Agency  
Justification of Proposed Changes in National Pre-disaster Mitigation Fund  
Appropriations Language**

*[For the Pre-disaster Mitigation Grant Program under section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. § 5133), \$35,500,000 to remain available until expended: Provided, That the total administrative costs associated with such grants shall not exceed \$3,000,000 of the total amount made available under this heading.]*

#### **Proposed New Language:**

FEMA is not requesting funding for PDM in 2013. Instead, FEMA requests that the following language be included in the General Provisions to make available previously earmarked funding for new grant awards, and allow prior year appropriations to be used for management and administration of the program as it sunsets:

*(a) Predisaster Hazard Mitigation - Section 203 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5133) is amended by --*

- (1) re-designating subparagraph (m) as “(o)”;*
- (2) re-designating subparagraph (n) as (p); and*
- (3) inserting the following new subparagraphs after subparagraph (l):*

*“(m) Notwithstanding any other applicable limitations in prior or future fiscal year appropriations, the Administrator may make grant awards at his discretion under this section with funding otherwise defined as ‘congressionally directed spending’ under this section in any prior fiscal year, if either:*

- (i) the intended applicant for such earmarked funding informs FEMA in writing that no application will be submitted to use the funding; or*
- (ii) no application for such earmarked funding is submitted to FEMA within two years of the date of the respective appropriation for such funds.*

*(n) Notwithstanding any other applicable limitations in prior or future fiscal year appropriations, the National Pre-disaster Mitigation Fund shall be made available to FEMA for necessary and reasonable costs to administer and/or close out Pre-disaster Mitigation grants.”*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	<b>15</b>	<b>15</b>	<b>77,771</b>
<b>FY 2012 Enacted</b>	<b>15</b>	<b>12</b>	<b>35,500</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	7
<b>Total, Increases</b>	-	-	7
<b>Total, Adjustments-to-Base</b>	-	-	7
 <b>FY 2013 Current Services</b>	 <b>15</b>	 <b>12</b>	 <b>35,507</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Reassignment of Personnel	-	(5)	-
<b>Total, Increases</b>	-	(5)	-
<b>Decreases</b>	-	-	-
Competitive Grant Funding	-	-	(35,507)
<b>Total, Decreases</b>	-	-	(35,507)
<b>Total, Program Changes</b>	-	(5)	(35,507)
 <b>FY 2013 Request</b>	 <b>15</b>	 <b>7</b>	 <b>-</b>
 <b>FY 2012 to FY 2013 Total Change</b>	 <b>-</b>	 <b>(5)</b>	 <b>(35,500)</b>

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
Summary of Requirements  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	15	15	77,771
<b>FY 2012 Enacted</b>	15	12	35,500
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	7
<b>Total, Adjustments-to-Base</b>	-	-	7
<b>FY 2013 Current Services</b>	15	12	35,507
<b>Program Changes</b>	-	-	-
Increases	-	(5)	-
Decreases	-	-	(35,507)
<b>Total, Program Changes</b>	-	(5)	(35,507)
<b>FY 2013 Request</b>	15	7	-
<b>FY 2012 to FY 2013 Total Change</b>	-	(5)	(35,500)

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
National Pre-disaster Mitigation Fund	15	12	35,500	-	-	7	-	(5)	(35,507)	15	7	-	-	(5)	(35,500)
<b>Total</b>	<b>15</b>	<b>12</b>	<b>35,500</b>	<b>-</b>	<b>-</b>	<b>7</b>	<b>-</b>	<b>(5)</b>	<b>(35,507)</b>	<b>15</b>	<b>7</b>	<b>-</b>	<b>-</b>	<b>(5)</b>	<b>(35,500)</b>

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,363	1,363	796	(567)
11.5 Other personnel compensation	16	16	9	(7)
12.1 Benefits	568	568	330	(238)
<b>Total, Personnel and Other Compensation Benefits</b>	<b>1,947</b>	<b>1,947</b>	<b>1,135</b>	<b>(812)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	532	676	392	(284)
22.0 Transportation of things	5	-	-	-
23.1 GSA rent	127	124	123	(1)
23.3 Communications, utilities, and misc. charges	46	46	46	-
24.0 Printing	3	-	-	-
25.1 Advisory and assistance services	185	179	179	-
25.2 Other services	7,384	5,435	5,435	-
25.3 Purchases from Gov't accts.	51	56	56	-
26.0 Supplies and materials	14	15	15	-
31.0 Equipment	71	71	71	-
41.0 Grants/Subsidies/Contributions	67,406	72,151	76,548	4,397
<b>Total, Other Object Classes</b>	<b>75,824</b>	<b>78,753</b>	<b>82,865</b>	<b>4,112</b>
<b>Total, Direct Obligations</b>	<b>77,771</b>	<b>80,700</b>	<b>84,000</b>	<b>3,300</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	128,533	44,533	(84,000)
Unobligated balance, start of year	-	(173,733)	(128,533)	45,200
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(45,200)</b>	<b>(84,000)</b>	<b>(38,800)</b>
<b>Total Requirements</b>	<b>77,771</b>	<b>35,500</b>	<b>-</b>	<b>(35,500)</b>
<b>Full-time Equivalents</b>	<b>15</b>	<b>12</b>	<b>7</b>	<b>(5)</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actuals	Enacted	Request	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
GS-14	3	3	3	-
GS-13	9	9	8	(1)
GS-12	3	3	4	1
<b>Total Permanent Positions</b>	<b>15</b>	<b>15</b>	<b>15</b>	-
Unfilled Positions EOY	-	3	8	5
Total Permanent Employment EOY	15	12	7	(5)
Headquarters	9	9	9	-
U.S. Field	6	6	6	-
<b>Total, National Pre-disaster Mitigation Fund</b>	<b>15</b>	<b>15</b>	<b>15</b>	-
<b>Full-time Equivalents</b>	<b>15</b>	<b>12</b>	<b>7</b>	<b>(5)</b>
Average ES Salary	-	-	-	-
Average GS Salary	89,825	89,825	89,825	-
Average Grade	13	13	13	-

## **G. Capital Investment and Construction Initiative Listing**

N/A



## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
National Pre-disaster Mitigation Fund  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,363	1,363	796	(567)
11.5 Other personnel compensation	16	16	9	(7)
12.1 Benefits	568	568	330	(238)
<b>Total, Personnel and Compensation Benefits</b>	<b>1,947</b>	<b>1,947</b>	<b>1,135</b>	<b>(812)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	532	676	392	(284)
22.0 Transportation of things	5	-	-	-
23.1 GSA rent	127	124	123	(1)
23.3 Communications, utilities, and misc. charges	46	46	46	-
24.0 Printing	3	-	-	-
25.1 Advisory and assistance services	185	179	179	-
25.2 Other services	7,384	5,435	5,435	-
25.3 Purchases from Gov't accts.	51	56	56	-
26.0 Supplies and materials	14	15	15	-
31.0 Equipment	71	71	71	-
41.0 Grants/Subsidies/Contributions	67,406	72,151	76,548	4,397
<b>Total, Other Object Classes</b>	<b>75,824</b>	<b>78,753</b>	<b>82,865</b>	<b>4,112</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(173,733)	(128,533)	45,200
Unobligated Balance, end of year	-	128,533	44,533	(84,000)
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(45,200)</b>	<b>(84,000)</b>	<b>(38,800)</b>
<b>Total Requirements</b>	<b>77,771</b>	<b>35,500</b>	-	<b>(35,500)</b>
<b>Full-time Equivalents</b>	<b>15</b>	<b>12</b>	<b>7</b>	<b>(5)</b>

### National Pre-disaster Mitigation Fund Mission Statement

Funding requested through this account is dedicated to grants for pre-disaster mitigation. The National Pre-disaster Mitigation (PDM) Fund was created under FEMA as the vehicle for disseminating these grants to State and local governments. Operating independently of the Disaster Relief Fund, which provides post-disaster mitigation funding, the PDM program offers an annual funding source for qualified mitigation activities that are not dependent upon a declaration of disaster activity by the President.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,363	1,363	796	(567)
11.5 Other personnel compensation	16	16	9	(7)

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,363	1,363	796	(567)
12.1 Benefits	568	568	330	(238)
<b>Total, Salaries &amp; Benefits</b>	<b>1,947</b>	<b>1,947</b>	<b>1,135</b>	<b>(812)</b>

Salaries and Benefits support seven full-time permanent positions. The decrease from FY 2012 is as a result of the program being phased out effective January 2013. FY 2013 includes an increase of 0.5% to Salaries and Benefits.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$532</b>	<b>\$676</b>	<b>\$392</b>	<b>-\$284</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 level reflects decrease cost in travel fares and service fees as a result of program being phased out.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$127</b>	<b>\$124</b>	<b>\$123</b>	<b>-\$1</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services.

# I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>15</b>	<b>15</b>	<b>12</b>
<b>Increases</b>			
<b>Decreases</b>			
Reassignment of Personnel	-	-	(5)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(5)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>15</b>	<b>15</b>	<b>7</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>(5)</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actuals Amount</b>	<b>FY 2012 Enacted Amount</b>	<b>FY 2013 Request Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
National Pre-disaster Mitigation Fund	\$62	\$46	\$50	\$4
<b>Total Working Capital Fund</b>	<b>62</b>	<b>46</b>	<b>50</b>	<b>4</b>

**K. DHS Balanced Workforce Strategy**

N/A

**Department of  
Homeland Security**  
*Federal Emergency Management Agency  
Emergency Food and Shelter*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Federal Emergency Management Agency Emergency Food and Shelter**

#### **I. Appropriation Overview**

##### **A. Mission Statement:**

###### **Mission Statement**

The Emergency Food and Shelter (EFS) program entrusted through the McKinney-Vento Homeless Assistance Act of 1987 (PL 100-77), provides grants to nonprofit and governmental organizations at the local level through the National Board to supplement and expand ongoing efforts to provide shelter, food, and supportive services for hungry and homeless people across the Nation.

##### **B. Budget Activities:**

EFS funds are used to supplement food, shelter, rent, mortgage, and utility assistance programs for people with non-disaster related emergencies.

The EFS program is administered via a national board of volunteer agencies chaired by FEMA. The National Board qualifies jurisdictions for annual EFS funding awards based on criteria involving current population, unemployment, and poverty levels. Grants are awarded to nonprofit community and government organizations that are chosen by local boards in the qualifying jurisdictions.

##### **C. Budget Request Summary:**

The FEMA FY 2013 request for the EFS program is 0 positions, 0 FTE, and \$100 million.



## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Emergency Food and Shelter**  
 Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Request  
 (Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount
Emergency Food and Shelter	-	-	119,760	-	-	120,000	-	-	100,000	-	-	(20,000)	-	-	(20,000)	-	-	-
<b>Subtotal, Mandatory</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Subtotal, Discretionary</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total, Emergency Food and Shelter</b>	-	-	<b>119,760</b>	-	-	<b>120,000</b>	-	-	<b>100,000</b>	-	-	<b>(20,000)</b>	-	-	<b>(20,000)</b>	-	-	-
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>119,760</b>	-	-	<b>120,000</b>	-	-	<b>100,000</b>	-	-	<b>(20,000)</b>	-	-	<b>(20,000)</b>	-	-	-
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates</b>	-	-	<b>119,760</b>	-	-	<b>120,000</b>	-	-	<b>100,000</b>	-	-	<b>(20,000)</b>	-	-	<b>(20,000)</b>	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
Emergency Food and Shelter  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Emergency Food and Shelter**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	-	-	<b>119,760</b>
<b>2012 Enacted</b>	-	-	<b>120,000</b>
<b>2013 Current Services</b>	-	-	<b>120,000</b>
2013 Program Change	-	-	(20,000)
<b>2013 Total Request</b>	-	-	<b>100,000</b>
Total Change 2012 to 2013	-	-	(20,000)

FEMA requests \$100 million for this activity. This request will enable Emergency Food and Shelter (EFS) program to support grants to nonprofit and governmental organizations at the local level.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The EFS program provides grants to nonprofit and governmental organizations at the local level to supplement their programs for emergency food and shelter.

Funding for this program is distributed by the National Board, which consists of designees from six charitable organizations – American Red Cross, Catholic Charities USA, The Jewish Federations of North America, National Council of Churches of Christ in the USA, The Salvation Army, and United Way Worldwide. The National Board is chaired by FEMA.

Local jurisdictions (cities or counties) are eligible for EFS program support when they have the highest need for emergency food and shelter services as determined by unemployment and poverty rates. In FY 2011, the National Board selected jurisdictions to receive funding according to the following: (1) jurisdictions had to have a minimum number of 300 unemployed individuals and 2) jurisdictions had to meet or exceed either of two thresholds – an unemployment rate of 11.5 percent or a poverty rate of 14.4 percent.

Funding also may be provided to jurisdictions that do not meet the initial eligibility requirements through the State Set-Aside Committee process. The National Board allocates a portion of

appropriated funds to State Set-Aside Committees based upon the unemployment in those jurisdictions that did not qualify for direct funding from the National Board. The State Set-Aside Committee process allows States to address pockets of homelessness and poverty or address the immediate needs of a locality that might be going through a high economic impact event.

## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
Emergency Food and Shelter  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:**                    Management and Technology Efficiencies  
PPA:  
Program Decrease:                    Positions 0, FTE 0, Dollars \$(20,000)

Funding Profile

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	120,000
Program Decrease							-	-	(20,000)
<b>Total Request</b>	-	-	<b>119,760</b>	-	-	<b>120,000</b>	-	-	<b>100,000</b>

**Description of Item**

FEMA requests to decrease the FY 2013 Emergency Food and Shelter (EFS) program by \$20 million from FY 2012.

**Justification**

The FY 2013 request for EFS reflects the continued acknowledgement of the vital contributions of EFS toward the distribution of needed funding to nonprofit and nongovernmental organizations providing services to the Nation’s hungry, homeless, and people in economic crisis. This request will continue to supplement significantly the delivery of an estimated 46.5 million meals, 3.1 million nights of lodging, and support for 74,706 rent/mortgage payments and 155,567 utility bill payments across the Nation while decreasing costs through management and efficiencies.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
Federal Emergency Management Agency  
Emergency Food and Shelter  
Appropriation Language**

*To carry out an emergency food and shelter program pursuant to Title III of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11331 et seq.), \$100,000,000, to remain available until expended: Provided, that total administrative costs shall not exceed 3.5 percent of the total amount available under this heading.(Department of Homeland Security Appropriations Act, 2012.)*

**B. FY 2012 to FY 2013 Budget Change**

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Emergency Food and Shelter**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actuals	-	-	119,760
FY 2012 Enacted	-	-	120,000
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Total, Adjustments-to-Base	-	-	-
 FY 2013 Current Services	 -	 -	 120,000
 Program Changes	 -	 -	 -
Decreases	-	-	-
Management and Technology Efficiencies	-	-	(20,000)
Total, Decreases	-	-	(20,000)
Total, Program Changes	-	-	(20,000)
 FY 2013 Request	 -	 -	 100,000
 FY 2012 to FY 2013 Total Change	 -	 -	 (20,000)

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
Emergency Food and Shelter  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actuals	-	-	119,760
FY 2012 Enacted	-	-	120,000
Adjustments-to-Base	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
FY 2013 Current Services	-	-	120,000
<b>Program Changes</b>	-	-	-
Decreases	-	-	(20,000)
<b>Total, Program Changes</b>	-	-	(20,000)
FY 2013 Request	-	-	100,000
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(20,000)

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Emergency Food and Shelter	-	-	120,000	-	-	-	-	-	(20,000)	-	-	100,000	-	-	(20,000)
<b>Total</b>	-	-	120,000	-	-	-	-	-	(20,000)	-	-	100,000	-	-	(20,000)

**D. Summary of Reimbursable Resources**

**N/A**



## E. Summary of Requirements by Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
Emergency Food and Shelter  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
41.0 Grants/Subsidies/Contributions	119,760	120,000	100,000	(20,000)
<b>Total, Other Object Classes</b>	<b>119,760</b>	<b>120,000</b>	<b>100,000</b>	<b>(20,000)</b>
<b>Total, Direct Obligations</b>	<b>119,760</b>	<b>120,000</b>	<b>100,000</b>	<b>(20,000)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>119,760</b>	<b>120,000</b>	<b>100,000</b>	<b>(20,000)</b>
<b>Full-time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

**N/A**

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
Emergency Food and Shelter  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
41.0 Grants/Subsidies/Contributions	119,760	120,000	100,000	(20,000)
<b>Total, Other Object Classes</b>	<b>119,760</b>	<b>120,000</b>	<b>100,000</b>	<b>(20,000)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>119,760</b>	<b>120,000</b>	<b>100,000</b>	<b>(20,000)</b>
<b>Full-time Equivalents</b>	-	-	-	-

### Emergency Food and Shelter Mission Statement

The Emergency Food and Shelter (EFS) program entrusted through the McKinney-Vento Homeless Assistance Act of 1987 (PL 100-77), provides grants to nonprofit and governmental organizations at the local level through the National Board to supplement and expand ongoing efforts to provide shelter, food, and supportive services for hungry and homeless people across the Nation.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>119,760</b>	<b>120,000</b>	<b>100,000</b>	<b>(20,000)</b>

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects.

## **I. Changes in Full-time Employment**

**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity**

N/A

**K. DHS Balanced Workforce Strategy**

**N/A**

**Department of  
Homeland Security**  
*Federal Emergency Management Agency  
Disaster Relief Fund*

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Fiscal Year 2013  
Congressional Justification



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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Emergency Management Agency Disaster Relief Fund**

### **I. Appropriation Overview**

#### **A. Mission Statement for Disaster Relief Fund:**

Pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act, the Disaster Relief Fund (DRF) provides a no-year base against which FEMA can direct, coordinate, manage, and fund eligible response and recovery efforts associated with domestic major disasters and emergencies that overwhelm State resources. Through the DRF, FEMA can fund authorized Federal disaster support activities as well as eligible State, territorial, tribal, and local actions, such as providing emergency protection and debris removal. The DRF also funds:

- The repair and rebuilding of qualifying disaster-damaged infrastructure
- Hazard mitigation initiatives
- Financial assistance to eligible disaster survivors
- Fire Management Assistance Grants for qualifying large urban wildfires

#### **B. Budget Activities:**

Major disasters and emergencies may be the result of disasters of all kinds and are declared by the President, typically in response to gubernatorial requests for assistance. States request Federal assistance to supplement their available resources and to certify that a given disaster is beyond their capacity or capability to respond. The DRF also supports fire management assistance activities for the mitigation, management, and control of fires on public and private lands.

FEMA coordinates three major disaster assistance programs:

- Federal Assistance to Individuals and Households
- Public Assistance
- Hazard Mitigation assistance

Non-declaration specific readiness and support activities also are funded under the DRF. These activities provide indirect support across FEMA (and to our Federal partners) and are managed separately as Disaster Readiness and Support activities.

#### **C. Budget Request Summary:**

FEMA requests 45 temporary full-time positions, 4,852 FTEs, and \$6,088,926,000 for the Disaster Relief Fund in FY 2013. This includes \$607,926,000 for base/non-major disaster activities and \$5,481,000,000 for major disasters declared pursuant to the Stafford Act and designated by the Congress as being for disaster relief pursuant to section 251(b)(2)(D) of the

Balanced Budget and Emergency Deficit Control Act of 1985 (BBEDCA), as amended by the Budget Control Act of 2011 (BCA).

Coupled with an estimated prior year recovery figure and carryover or reserve funds, the DRF request is projected to support estimated requirements for all past declared catastrophic events (where expected Federal obligations exceed \$500 million) and the 10-year average obligation level for noncatastrophic disaster activity (where Federal obligations were under \$500 million).

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

### Department of Homeland Security Federal Emergency Management Agency Disaster Relief Fund

Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Disaster Relief Fund	45	5,101	7,503,062	45	4,852	7,076,000	45	4,852	6,088,926	-	-	(987,074)	-	-	(11,139)	-	-	(975,935)
<b>Total, Disaster Relief Fund</b>	<b>45</b>	<b>5,101</b>	<b>7,503,062</b>	<b>45</b>	<b>4,852</b>	<b>7,076,000</b>	<b>45</b>	<b>4,852</b>	<b>6,088,926</b>	<b>-</b>	<b>-</b>	<b>(987,074)</b>	<b>-</b>	<b>-</b>	<b>(11,139)</b>	<b>-</b>	<b>-</b>	<b>(975,935)</b>
Subtotal, Enacted Appropriations and Budget Estimates	45	5,101	7,503,062	45	4,852	7,076,000	45	4,852	6,088,926	-	-	(987,074)	-	-	(11,139)	-	-	(975,935)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>45</b>	<b>5,101</b>	<b>7,503,062</b>	<b>45</b>	<b>4,852</b>	<b>7,076,000</b>	<b>45</b>	<b>4,852</b>	<b>6,088,926</b>	<b>-</b>	<b>-</b>	<b>(987,074)</b>	<b>-</b>	<b>-</b>	<b>(11,139)</b>	<b>-</b>	<b>-</b>	<b>(975,935)</b>

<sup>1</sup>FY 2011 EOY Actuals FTE amount includes overtime pay of 5,540 FTE, which is not reflected in the FY 2013 CJ.

<sup>2</sup>FTE kept constant due to unpredictability of disasters.

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Disaster Relief Fund**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>45</b>	<b>5,101</b>	<b>7,503,062</b>
<b>2012 Enacted Budget Authority</b>	<b>45</b>	<b>4,852</b>	<b>7,076,000</b>
2013 Adjustments-to-Base	-	-	(975,935)
<b>2013 Current Services</b>	<b>45</b>	<b>4,852</b>	<b>6,100,065</b>
2013 Program Change	-	-	(11,139)
<b>2013 Total Requested Budget Authority</b>	<b>45</b>	<b>4,852</b>	<b>6,088,926</b>
Total Change 2012 to 2013	-	-	(987,074)

*Note: The 45 positions reflected above are FEMA's cadre of temporary full-time Federal Coordinating Officers (FCO). The bulk of the FTE reflected herein is made up of Disaster Assistance Employees (DAE) and Cadre of On-call Response Employees (CORE), primarily deployed for specific disasters.*

FEMA requests \$6,088,926,000 for the DRF in FY 2013, of which \$607,926,000 is for base/non-major disaster activities and \$5,481,000,000 is for major disasters declared pursuant to the Stafford Act and designated by the Congress as being for disaster relief pursuant to section 251(b)(2)(D) of the BBEDCA, as amended by the BCA. Coupled with an estimated prior year recovery figure and carryover or reserve funds, the DRF request is projected to support estimated requirements for all past declared catastrophic events (where expected Federal obligations exceed \$500 million) and the 10-year average obligation level for noncatastrophic disaster activity (where Federal obligations were under \$500 million).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act), 42 U.S.C. 5121-5207 (Public Law 93-288, as amended), authorizes the President to provide Federal assistance to supplement State and local governments' disaster response, recovery, readiness, and mitigation efforts. Under Section 504 of the Homeland Security Act, as amended, FEMA's Administrator has been delegated the responsibility for administering the Stafford Act's Federal assistance programs. The DRF provides funding for the following Stafford Act declarations or activities: (1) major disaster; (2) emergency; (3) fire management assistance; (4) pre-declaration surge; and (5) Disaster Readiness and Support (DRS).

By amending the BBEDCA, the BCA necessitated a new approach to accounting for disaster-related activity. Essentially, requests for DRF funding for FEMA’s Stafford Act programs and disaster support activities fall into two categories: disaster relief cap adjustment and base/non-major disasters. Funding requested under the disaster relief cap adjustment is for major disasters declared pursuant to the Stafford Act and designated by the Congress as being for disaster relief pursuant to section 251(b)(2)(D) of the BBEDCA, as amended by the BCA. Funding requested under the base/non-major disasters category includes Emergencies, Pre-disaster Surge Support, Fire Management Assistance Grants and activities that are non-disaster specific, such as Disaster Readiness Support (DRS) activities (e.g., distribution centers, reservist training, etc.).

(Dollars in millions)	
<b>DRF Need in 2013</b>	6,089
Catastrophic	3,016
Noncatastrophic	3,773
Reserve	500
Estimated Recoveries	-1,200
<b>Breakdown per BCA</b>	6,089
Disaster Relief Cap Adjustment	5,481
Base/Non-Major Disasters	608

A hypothetical breakdown for these base/non-major disaster activities and how they build to the \$608 million request for this category appears below.

<b>DISASTER RELIEF FUND OTHER DISASTER ACTIVITIES</b>			
<b>PROGRAM DESCRIPTION</b>	<b>FY 2011 EOY Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Request</b>
EM-EMERGENCY*	109,045,479	338,271,223	119,762,632
FM-FIRE MANAGEMENT	30,018,360	38,063,709	32,968,609
SU-SURGE	86,005,247	3,892,921	94,457,972
OTHER DISASTER SUPPORT ACTIVITIES	326,975,176	319,772,148	360,736,787
<b>TOTAL</b>	<b>552,044,262</b>	<b>700,000,000</b>	<b>607,926,000</b>
<i>Notes</i>			
<i>*FY 2012 - Payment of \$200M for Fire Emergency in CA</i>			

The funding level required for the catastrophic category (events greater than \$500 million) is based on FEMA spends plans for all past declared catastrophic events. The DRF 2013 request includes no funds for new catastrophic events that may occur in 2013. The noncatastrophic funding level is based on a revised approach that uses the 10-year average for noncatastrophic events. As opposed to the previous method that utilized the five-year average, this provides a more accurate projection of noncatastrophic

needs since it normalizes the effects of outlier years. The request assumes that new catastrophic events in 2013 will be funded with emergency supplemental funds as provided for in the BCA/BBEDCA.

The recoveries figure represents an estimate of the amount that FEMA will deobligate and recover from prior disasters. FEMA has aggressively recovered funds in recent years and will continue to do so in FY 2013. In FY 2011, FEMA undertook an aggressive effort to improve the efficiency of the disaster closeout process. This effort included issuing and enforcing standard closeout policies, establishing consistent closeout practices across all regions, establishing and tracking closeout metrics, and streamlining and simplifying the closeout process. This effort resulted in the closure of 124 disasters, well in excess of previous yearly closeout averages. The FY 2013 estimate for recoveries of \$1.2 billion is the same estimate as FY 2012.

The FY 2012 request included a \$500 million reserve. Given the need not to draw the fund down to unacceptable levels at year-end and in the most active portion of hurricane season, the DRF request for FY 2013 also includes a \$500 million reserve.

The amount provided via the BCA disaster relief cap adjustment may only be obligated on declared major disasters. In analyzing the last 10 years of obligations for non-major disasters, FEMA determined that base/non-major disasters comprise an average of nine percent of the gross DRF requirement. Therefore, the estimated requirement for base/non-major disasters is \$608 million, or nine percent of the gross DRF requirement (not including the reserve).

The Disaster Relief Fund provided critical resources to States, localities, and survivors by obligating \$7.503 billion in FY 2011. It enabled FEMA to lead response and recovery efforts for 98 major disaster declarations and 26 emergency declarations across 47 States. In addition, the DRF provided 112 fire management assistance grants for fires in 16 States. According to the National Oceanic and Atmospheric Administration, in 2011 the U.S. experienced the most billion dollar weather disasters on record. More than 1,000 people died from weather-related causes, most of them from tornadoes, and more than 8,000 people were injured.

Along with the outbreak of severe weather across the country in April 2011 that produced more than 600 tornadoes and caused more than 350 deaths, FEMA responded to the:

- Groundhog Day Blizzard
- Mississippi and Missouri River Flooding
- The six-day midwest/southeast tornado outbreak in May that included EF-5 tornadoes that rolled through Joplin, Missouri
- The seven-day midwest/southeast/plains outbreak of severe storms and tornadoes in June that featured four EF-3 tornadoes
- Texas Wildfires
- Hurricane Irene and Tropical Storm Lee

FEMA's pool of highly trained and qualified DAEs and COREs provided support needed to help survivors recover from these disasters.

## **DIRECT DISASTER ACTIVITIES**

Individual Assistance (IA), Public Assistance (PA), and the Hazard Mitigation Grant Program (HMGP) are FEMA's primary Direct Disaster programs. These programs are managed and administered by the Recovery and Mitigation Directorates within FEMA. These activities may fall under either the cap adjustment allowance or the base amount depending on whether they are in response to a major disaster or emergency declaration.

These programs constitute the majority of the resources provided by the Federal Government (through FEMA) to directly address the short-, medium-, and long-term impacts of a disaster on individuals and communities. Disaster assistance under the authorities of the Stafford Act can be provided to States (and further provided to local or tribal governments), the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

### **Individual Assistance**

DRF provides funding for the following IA Programs:

#### **Individual and Households Programs – 100 percent Federally funded**

- Temporary housing (rent and lodging expense): Funding is provided to rent alternate housing or a temporary housing unit when rental properties are not available.
- Repair: Funding is provided for homeowners to repair damage (to their primary residence) from the disaster that is not covered by insurance. A flood insurance purchase and maintenance requirement may be placed on the home if the home is in a Special Flood Hazard Area. Repair assistance is intended to repair the home to a safe, sanitary, and functional living condition.
- Replacement: Funds are made available to homeowners to assist with the replacement of a destroyed primary residence that is not covered by insurance. The goal is to help the homeowners with the cost of replacing their destroyed homes.
- Permanent Housing Construction: Funds are made available for the construction of a home, or FEMA will provide direct assistance with the construction. This type of assistance only occurs in insular areas or remote locations specified by FEMA, where no other type of housing assistance is possible, or where other temporary housing options are unavailable or infeasible. Construction shall follow current minimal local building codes and standards (where they exist), or minimal acceptable construction industry standards in the area. Construction will aim toward average quality, size, and capacity, taking into consideration any unique needs (such as disability requirements) of the occupant.

#### **Other Needs Assistance (ONA)**

ONA is available for necessary expenses and serious needs of survivors of the declared disaster. Assistance provided by the ONA program is cost-shared between FEMA (75 percent) and the State (25 percent).



Assistance is provided to individuals contingent on their ability or inability to secure a loan from the U.S. Small Business Administration (SBA). If SBA determines that an applicant cannot afford a loan, SBA automatically will refer the applicant to the ONA program for assistance.

ONA can be provided for disaster-related serious needs in five categories:

- **Repair or Replacement of Personal Property:**
  - Clothing
  - Household items (i.e., home furnishings, appliances)
  - Specialized tools or job-related protective clothing and equipment
  - Educational materials (i.e. books)
  - Cleaning supplies (i.e., wet/dry vacuum, air purifier, dehumidifier)
  
- **Transportation:** Repair or replacement of a vehicle that is deemed unusable due to disaster-related damage.
  
- **Medical and Dental Expenses:** Medical treatment or the purchase of medical equipment required due to physical injuries resulting from a disaster.
  
- **Funeral and Burial Expenses:** Funeral services, burial, or cremation and other funeral expenses related to a death caused by the disaster.
  
- **Other Items:** The State and FEMA can agree to pay for specific disaster-related costs that are not listed above. Some examples are generators, moving and storage expenses, and the cost of a National Flood Insurance Program Group Flood Insurance Certificate.

### **Crisis Counseling Assistance and Training Program**

The Crisis Counseling Program, 100 percent Federally funded, supports short-term interventions with individuals and groups experiencing psychological effects resulting from large-scale disasters. These interventions involve the counseling goals of assisting disaster survivors in understanding their current situation and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or developments of coping strategies, providing emotional support, and encouraging linkages with other individuals and agencies that may help survivors recover to their pre-disaster level of functioning. Supplemental funding for crisis counseling is available to state mental health authorities through two grant mechanisms: (1) the Immediate Services Program; and (2) the Regular Services Program, which provide funds for up to nine months following a major disaster declaration.

### **Disaster Unemployment Assistance (DUA)**

The DUA program, 100 percent Federally funded, provides individuals who have become unemployed because of a disaster and unable to secure regular unemployment benefits with unemployment benefits and re-employment services.

## **Legal Services**

Legal services, 100 percent Federally funded, may be provided to low-income individuals unable to secure such services adequate to meet their needs as a consequence of a major disaster.

## **Disaster Case Management Program**

This program, 100 percent Federally funded, provides case management services, including financial assistance, to State or local government agencies or to qualified private organizations to provide such services to victims of major disasters to identify and address unmet needs.

## **Public Assistance**

The PA program offers assistance to State, local, and tribal governments after a declared major disaster or emergency for eligible disaster-related damage. In addition, certain private nonprofit organizations that operate facilities and provide services to the public typically provided by a government agency may receive public assistance. PA is a cost-shared (75 percent Federal, 25 percent non-Federal) grant program. However, States may request, and the President may grant, a higher Federal cost share in situations in which the disaster has had a significant economic impact on the State.

PA provides funding to grantees for the repair and restoration of damaged public and eligible private nonprofit facilities, for emergency measures taken to protect lives and property, and in support of disaster-related debris removal. When PA is authorized, such assistance may be provided under one or more of the following seven categories:

- Category A – Debris Removal
- Category B – Emergency Protective Measures
- Category C – Repair of Roads and Bridges
- Category D – Water Control Facilities
- Category E – Public Buildings
- Category F – Public Utilities
- Category G – Other Facilities

## **Hazard Mitigation Grant Program**

HMGP provides State, local, and tribal governments with cost-shared grants (75 percent Federal, 25 percent non-Federal) to reduce the risk of potential damage, hardship, loss, and suffering in an area affected by a major disaster. Ultimately, HMGP reduces future need for Federal disaster assistance by reducing the impact of and increasing the resistance to natural hazards.

HMGP funding is made available to States based on 15 percent of the total Federal funds spent in the PA and IA programs (minus administrative expenses) for each major disaster costing up to \$2 billion; 10 percent for disasters between \$2 billion and \$10 billion; and 7.5 percent for major disasters between \$10 billion and not more than \$35.33 billion.

HMGP projects vary and may include retrofitting structures to resist flooding, winds, and earthquakes; elevating structures above base flood levels; property acquisition and demolition or relocation for open space; and minor flood reduction and drainage measures.

HMGP grants are required to be cost-effective. In 2005, the Multi-hazard Mitigation Council, a part of the National Institute of Building Sciences, published a report that analyzed the overall impact of FEMA's Hazard Mitigation Programs. The findings show that money spent on reducing the potential damage of natural hazards is a sound investment and is cost-effective. On average, a dollar spent on hazard mitigation activities will save the Nation approximately four dollars in future payouts for damage caused by natural hazards.

### **Compacts of Free Association**

The DRF provides funding for disaster relief and reconstruction activities in the Federated States of Micronesia and the Republic of the Marshall Islands pursuant to the Compacts of Free Association. This funding is provided through a direct transfer of DRF funds to the United States Agency for International Development.

## **OTHER DISASTER ACTIVITIES**

### **Other Direct Disaster Programs**

- **Fire Management Assistance**

FEMA provides assistance for the mitigation, management, and control of any fire on public or private forest or grassland that threatens such destruction as would constitute a major disaster. Items eligible for funding under the Fire Management Assistance Grant Program include equipment, labor costs, emergency work, and temporary repair work directly related to firefighting activities associated with the declared fire.

### **Disaster Readiness and Support (DRS) Programs**

The DRS funding was established to bolster FEMA's general steady-state effectiveness and readiness. It enables FEMA to be in a more proactive and robust advance-readiness posture to respond to large-scale, complex, presidentially declared major disasters instead of waiting for disasters to occur and reacting with costly and inefficient response actions.

FEMA manages DRS costs throughout the year. These expenses are essential for: (1) timely disaster response; (2) responsive customer service; and (3) cost-effective program oversight and delivery.

DRS funds key activities and initiatives, such as:

- Strategic pre-positioning and management of disaster commodities
- Improved inventory of specialized assets
- Standby support to enable FEMA to increase response and recovery capacity as quickly as needed

DRS activities support FEMA's all-hazards mission. They include initiatives and resources formerly funded from the DRF's legacy disaster support activities and readiness contracts. Many of these costs are predictable on an annual basis and allow FEMA to support a cross-section of disasters utilizing an infrastructure of processing and distribution centers and information technology systems. In addition, the DRS includes certain costs to help FEMA pre-position for disasters, including the establishment of large commodity and transportation service contracts that can be activated in the event of a major disaster.

These efforts (including better communications, a more effective intake process, more efficient delivery systems for disaster commodities, and improved oversight of disaster aid through our technical assistance contractors) will continue to improve the quality of FEMA support to disaster survivors.

FEMA has increased transparency and budgetary discipline of the DRS through the implementation of detailed spending plans and program reviews. As a result, FEMA is better equipped to maintain its critical disaster support activities and infrastructure; and ensure the timely delivery of disaster assistance.

## ***Response Directorate***

FEMA's Response Directorate provides and coordinates the core Federal response capabilities needed to save lives, minimize suffering, and protect property in communities throughout the Nation overwhelmed by the impact of an incident, regardless of cause. The Response Directorate encompasses the following programs:

**Incident Workforce Management Office:** Develops, deploys, and supports a professional disaster workforce of personnel ready to support the national all-hazard response needs of FEMA headquarters and regional leadership and assists in the deployment of responders from FEMA's full-time workforce and the DHS-supported surge capacity force when required.

**The Deployment Unit:** Manages and administers the Automated Deployment Database personnel deployment system for the incident workforce and the surge capacity force throughout the entire spectrum of FEMA's preparedness, response, recovery, and mitigation missions.

**The Readiness Unit:** Manages and coordinates all aspects of cadre/surge readiness and provides oversight of the surge and volunteer workforce programs that ultimately will roster more than 40,000 persons at DHS.

**The FEMA Qualification System (FQS Unit):** Establishes the system for qualification and certification of the FEMA workforce through experience, training, and demonstrated performance; ensures qualified workforce based on performance standards; establishes minimum, consistent, and fair qualification requirements for all workforce positions regardless of employment status; and works to strengthen the training and qualification standards for all workforce positions by implementing improvements based on analysis.

**The Cadre Coordination Unit:** Responsible for the communication, coordination, and outreach of workforce procedures and program guidance to the national and regional cadre managers and liaisons on workforce deployment, readiness, and FQS.

**Training, Exercise & Doctrine Office:** FQS is a performance-based approach to workforce qualification and certification of incident management and incident support positions activated to support disasters. This approach seeks to improve FEMA's response and recovery services by identifying required competencies and tasks for disaster personnel and by fostering knowledge and skill development within those competencies to perform the tasks successfully. The FQS is guided by operational requirements and current doctrine and drives FEMA's training curriculum for disaster workers at all organizational levels.

The FQS was built upon and expands the former Disaster Response Workforce (DRW) credentialing initiative. The individual cadres utilized their existing DRW position task books as a foundation for their work on the FQS products, moving from a training focus to an Incident Command System-compliant, performance-based focus on more robust, measurable competencies and tasks that support increased functional ability across each cadre.

**National Evacuation Contracts:** Provides FEMA with the ability to plan, execute, and exercise multi-modal evacuation capability in the event of catastrophic disasters. Program activities address evacuation capabilities by motor coach, rail, air, and ambulance.

**Disaster Emergency Communications (DEC) Division:** Provides and leads integrated Federal communications support to emergency responders at all levels of government. It has a leading national role in the oversight and development of Regional Emergency Communications Coordination Working Groups. The Division develops and delivers the capability to provide tactical voice, data, and video communications services before, during, and immediately after an incident to support emergency managers at all levels of governments.

### ***Recovery Directorate***

The Recovery Directorate works to ensure that individuals and communities affected by disasters of all sizes are able to return to normal with minimal suffering and disruption of services. Program activities focus on improving efficiency and expediting delivery of disaster assistance to eligible individuals; to State, local, and tribal governments; and to eligible private nonprofit organizations. This is accomplished through a commitment to streamline procedures to improve program policy, to minimize error, and to modernize service delivery technology.

Annual costs for the following readiness contracts, staff, and activities are funded through the DRS (actual deployment or assistance costs incurred pursuant to declarations will continue to be funded from the specific declarations):

- Contract Support
  - Individual Assistance Technical Assistance (IA-TAC)
  - Public Assistance Technical Assistance (PA-TAC)
  - Housing Inspection Services
  - Mail Operations
  - Enterprise Application Development Integration and Sustainment
  - Corporate Lodging Consultants
  - Surge Staffing for Registration Intake
- National Processing Service Centers (NPSCs)
  - Readiness costs, including equipment, rent, and security, for FEMA's three NPSCs located in Maryland, Texas, and Virginia. The NPSC facilities provide FEMA call center and benefits processing capabilities to register and process disaster survivors' applications.
  - Developers to make continuous updates to the National Emergency Management Information System to ensure that processing complements the most up-to-date IA policies.
- Individual Assistance Readiness Support
  - Funding is utilized to support travel and equipment needed to ensure the delivery of IA programs under Emergency Support Function #6. This includes costs for all-hazard disaster planning with State, local, Regional, Federal, nongovernmental, and voluntary agency partners; recovery program evaluations; travel and salaries to support DAEs engaged in readiness planning, training, and delivery, as well as program closeout.

- Interagency Agreements (IAA)
  - Crisis Counseling Assistance and Training Program (CCATP). The Center for Mental Health Services of the U.S. Department of Health and Human Services provides critical technical support in the management of FEMA's CCATP. FEMA annually funds three permanent full-time positions, contract support, travel, equipment supplies, and administrative costs through an IAA. When the program is activated pursuant to a disaster declaration, assistance is charged to the declaration's costs under the DRF.
  - Disaster Unemployment Assistance. The Employment and Training Administration within the Department of Labor (DOL) administers the DUA Program on FEMA's behalf. As such, FEMA annually funds DOL through an interagency agreement to perform this function. When the program is activated pursuant to a disaster declaration, assistance is charged to the declaration's costs under the DRF.
  
- Maintain a Web-based Public Assistance Program
  - DRS funding is used to maintain a web-based capability (Emergency Management Mission Integrated Environment) for the PA Program that allows FEMA staff, PA applicants, and States to perform all PA grant management activities online and supports the use of state-of-the-art technology such as wireless handheld devices used by PA staff and contractors to perform inspections on damaged facilities. The inspection information is uploaded automatically into the Web-based system, eliminating a paper-based process, improving efficiency, and attaining cost savings.

### ***Logistics Management Directorate (LMD)***

The mission of the Logistics Management Directorate is to effectively plan, manage and sustain national logistics response and recovery operations, in support of domestic emergencies and special events – to serve as the National Logistics Coordinator. LMD is organized around four major initiatives:

- **Disaster Logistics Distribution Management Operations** manages the Agency's warehouse facilities and transportation systems used to receive, store, maintain, issue, distribute and track supplies, services, materiel, and equipment.
- **Logistics Supply Chain Management System (LSCMS)** supports FEMA's mission of responding to all hazards expediently and efficiently by managing the Nation's end-to-end supply chain of critical disaster assets and commodities. LSCMS manages the supply chain process including: initial request for assets and commodities, orders to FEMA and partners, transportation, inventory management at FEMA locations, shipment, and receipt by the States. LSCMS provides situational awareness and in-transit visibility through reporting and GIS mapping capabilities.
- **Disaster Logistics Operations** manages the Temporary Housing Unit (THU) Storage Sites Program supporting the Disaster Assistance Directorate's Direct Housing Program. The program is part of a lifecycle and performance-based business model, and supports THU sites with contracts for various support services.
- **Emergency Evacuation** provides management oversight for ensuring in-transit visibility of all assets deployed in support of evacuation requirements.

**Disaster Logistics Property Accountability, Oversight, and Coordination:** Provides industry standards (using American Society for Testing and Materials voluntary consensus standards), quality assurance, customer assistance and technical reviews of property accountability, inventory services, and oversight of disposal and donations of agency disaster-funded supplies and equipment.

***Office of the Federal Coordinating Officer***

Upon declaration of a major disaster or emergency, the FEMA Administrator appoints an FCO who is charged with initiating all actions necessary to assure that Federal assistance is provided in accordance with the declaration, applicable laws, regulations, and the FEMA-State agreement. When not deployed to a disaster, FCO cadre members require funding for equipment, travel, training, exercises and miscellaneous expenses, including office supplies.

***Mission Support Bureau (MSB)***

The MSB supports all facets of the Agency's mission by providing strategic leadership and assuring the timely, efficient, and effective delivery of administrative, property management, health and safety, human capital, Information Technology (IT), procurement, security services, and business function capabilities. This range of capabilities supports the entire enterprise of FEMA's mission activities that range from performing Urban Search and Rescue; taking in and managing requests for IA and PA grants; and approving and paying those grants; to managing flood insurance policies for the Nation's citizens.

***Office of Chief Financial Officer (OCFO)***

OCFO leads the effort to maximize the impact of financial resources and ensure accountability to support the mission of FEMA.

OCFO oversees planning and response activities of the financial management members of FEMA's emergency teams and management of the national Disaster Comptroller cadre. FEMA maintained a class of employees referred to as non-disaster specific (NDS) COREs to perform essential duties that cannot reasonably be attributed on a disaster-specific basis. These NDS COREs were hired as temporary full-time employees with appointments not to exceed 2 years. Based on the distribution of work among all of the programs/offices, 233 positions were converted to permanent full-time positions and for the most part were funded in the Management and Administration appropriation.



## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Reduction in Readiness Support Contracts  
PPA:  
Program Decrease: Positions 0, FTE 0, Dollars \$(11,139)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	48,628
Program Decrease							-	-	(11,139)
<b>Total Request</b>	-	-	<b>41,986</b>	-	-	<b>48,628</b>	-	-	<b>37,489</b>

**Description**

The FY 2013 Budget for the Disaster Relief Fund (DRF) is approximately \$6.1 billion, including nearly \$608 million funded in FEMA’s base budget.

**Justification**

FEMA’s Disaster Readiness and Support (DRS) budget maintains the recurring set of readiness and support costs charged to the DRF. These include the costs of readiness contracts for Housing Inspection Services, PA-TAC, and IA-TAC that exceed \$30 million each year. FEMA has begun the effort to restructure, renegotiate, and recomplete these contracts to reduce the overall expense of these readiness activities. FEMA expects to save \$11.139 million in readiness costs in FY 2013 without compromising current services or readiness levels within FEMA.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

There are no anticipated impacts to FEMA’s current services or readiness levels.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For necessary expenses in carrying out the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.), \$6,088,926,000, to remain available until expended: Provided, That of the funds provided herein, \$5,481,000,000 shall be for major disasters declared pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.): Provided further, That the amount for major disasters in the previous proviso is designated by the Congress as being for disaster relief pursuant to section 251(b)(2)(D) of the Balanced Budget and Emergency Deficit Control Act of 1985, as amended. (Disaster Relief Appropriations Act, 2012.)*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>45</b>	<b>5,101</b>	<b>7,503,062</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>45</b>	<b>4,852</b>	<b>7,076,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	2,716
<b>Total, Increases</b>	-	-	<b>2,716</b>
<b>Decreases</b>	-	-	-
Disaster Relief Cap Adjustment	-	-	(978,651)
<b>Total, Decreases</b>	-	-	<b>(978,651)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(975,935)</b>
<b>FY 2013 Current Services</b>	<b>45</b>	<b>4,852</b>	<b>6,100,065</b>
<b>Program Changes</b>	-	-	-
<b>Decreases</b>	-	-	-
Reduction in Readiness Support Contracts	-	-	(11,139)
<b>Total, Decreases</b>	-	-	<b>(11,139)</b>
<b>Total, Program Changes</b>	-	-	<b>(11,139)</b>
<b>FY 2013 Requested Budget Authority</b>	<b>45</b>	<b>4,852</b>	<b>6,088,926</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(987,074)</b>

<sup>1</sup>FY 2011 EOY Actuals FTE amount includes overtime pay for 5,540 FTE, which is not reflected in the FY 2013 CJ.

<sup>2</sup>FTE kept constant due to unpredictability of disasters.

Note: The 45 positions reflected above are FEMA's cadre of temporary full-time FCOs. The bulk of the FTE reflected herein is made up of DAEs and COREs, primarily deployed for specific disasters.

## C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	45	5,101	7,503,062
<b>FY 2012 Enacted Budget Authority</b>	45	4,852	7,076,000
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	2,716
Decreases	-	-	(978,651)
<b>Total, Adjustments-to-Base</b>	-	-	(975,935)
<b>FY 2013 Current Services</b>	45	4,852	6,100,065
<b>Program Changes</b>	-	-	-
Decreases	-	-	(11,139)
<b>Total, Program Changes</b>	-	-	(11,139)
<b>FY 2013 Requested Budget Authority</b>	45	4,852	6,088,926
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(987,074)

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Disaster Relief Fund	45	4,852	7,076,000	-	-	(975,935)	-	-	(11,139)	45	4,852	6,088,926	-	-	(987,074)
<b>Total</b>	<b>45</b>	<b>4,852</b>	<b>7,076,000</b>	<b>-</b>	<b>-</b>	<b>(975,935)</b>	<b>-</b>	<b>-</b>	<b>(11,139)</b>	<b>45</b>	<b>4,852</b>	<b>6,088,926</b>	<b>-</b>	<b>-</b>	<b>(987,074)</b>

<sup>1</sup>FY 2011 EOY Actuals FTE amount includes overtime pay of 5,540 FTE, which is not reflected in the FY 2013 CJ.

<sup>2</sup>FTE kept constant due to unpredictability of disasters.

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Department of Homeland Security (Temporary Housing Units)	-	-	131,000	-	-	-	-	-	1,000	-	-	1,000
<b>Total Budgetary Resources</b>	-	-	<b>131,000</b>	-	-	-	-	-	<b>1,000</b>	-	-	<b>1,000</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project/Activity:</b>												
Administrative Activities (Administration)	-	-	131,000	-	-	-	-	-	1,000	-	-	1,000
<b>Total Obligations</b>	-	-	<b>131,000</b>	-	-	-	-	-	<b>1,000</b>	-	-	<b>1,000</b>

<sup>1</sup>May change due to the unpredictability of disasters.

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	172,020	177,868	178,757	889
11.3 Other than full-time permanent	150,954	156,087	156,867	780
11.5 Other personnel compensation	94,603	97,820	98,309	489
12.1 Benefits	87,878	90,866	91,320	454
13.0 Unemployment Compensation	20,106	20,790	20,894	104
<b>Total, Personnel and Other Compensation Benefits</b>	<b>525,561</b>	<b>543,431</b>	<b>546,147</b>	<b>2,716</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	183,907	169,359	160,891	(8,468)
22.0 Transportation of things	42,441	41,141	40,215	(926)
23.1 GSA rent	33,845	53,121	52,952	(169)
23.2 Other rent	36,958	4,562	4,731	169
23.3 Communications, utilities, and misc. charges	49,211	47,703	46,630	(1,073)
24.0 Printing	1,810	1,754	1,715	(39)
25.1 Advisory and assistance services	33,944	31,258	29,695	(1,563)
25.2 Other services	521,894	480,610	456,580	(24,030)
25.3 Purchases from Gov't accts.	649,201	629,311	615,154	(14,157)
25.4 O&M of facilities	18,554	17,986	17,581	(405)
25.7 Operation and maintenance of equipment	6,078	5,891	5,759	(132)
26.0 Supplies and materials	66,200	64,172	62,728	(1,444)
31.0 Equipment	140,435	136,132	133,070	(3,062)
32.0 Land & structures	6,410	6,410	6,410	-
41.0 Grants/Subsidies/Contributions	5,186,598	5,658,144	4,619,727	(1,038,417)
91.0 Unvouchered	15	15	15	-
<b>Total, Other Object Classes</b>	<b>6,977,501</b>	<b>7,347,569</b>	<b>6,253,853</b>	<b>(1,093,716)</b>
<b>Total, Direct Obligations</b>	<b>7,503,062</b>	<b>7,891,000</b>	<b>6,800,000</b>	<b>(1,091,000)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	477,857	966,783	488,926
Unobligated balance, start of year	-	(92,857)	(477,857)	(385,000)
Recoveries of Prior Year Obligations	-	(1,200,000)	(1,200,000)	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(815,000)</b>	<b>(711,074)</b>	<b>103,926</b>
<b>Total Requirements</b>	<b>7,503,062</b>	<b>7,076,000</b>	<b>6,088,926</b>	<b>(987,074)</b>
<b>Full-time Equivalents</b>	<b>5,101</b>	<b>4,852</b>	<b>4,852</b>	-

<sup>1</sup>FY 2011 EOY Actuals unobligated EOY balance is reflected as \$99 million due to a technical adjustment in the FEMA financial system.

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
GS-15	45	45	45	-
<b>Total Permanent Positions</b>	<b>45</b>	<b>45</b>	<b>45</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	45	45	45	-
<b>Total, Disaster Relief Fund</b>	<b>45</b>	<b>45</b>	<b>45</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>5,101</b>	<b>4,852</b>	<b>4,852</b>	<b>-</b>
Average ES Salary	-	-	-	-
Average GS Salary	-	-	-	-
Average Grade	-	-	-	-

<sup>1</sup>FY 2011 EOY Actuals FTE amount includes overtime pay of 5,540 FTE, which is not reflected in the FY 2013 CJ.

<sup>2</sup>FTE kept constant due to unpredictability of disaster.

Note: The 45 positions reflected above are FEMA's cadre of temporary full-time FCOs. The bulk of the FTE reflected herein is made up of DAEs and COREs, primarily deployed for specific disasters.

## **G. Capital Investment and Construction Initiative Listing**

**N/A**



## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Relief Fund  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	172,020	177,868	178,757	889
11.3 Other than full-time permanent	150,954	156,087	156,867	780
11.5 Other personnel compensation	94,603	97,820	98,309	489
12.1 Benefits	87,878	90,866	91,320	454
13.0 Unemployment Compensation	20,106	20,790	20,894	104
<b>Total, Personnel and Compensation Benefits</b>	<b>525,561</b>	<b>543,431</b>	<b>546,147</b>	<b>2,716</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	183,907	169,359	160,891	(8,468)
22.0 Transportation of things	42,441	41,141	40,215	(926)
23.1 GSA rent	33,845	53,121	52,952	(169)
23.2 Other rent	36,958	4,562	4,731	169
23.3 Communications, utilities, and misc. charges	49,211	47,703	46,630	(1,073)
24.0 Printing	1,810	1,754	1,715	(39)
25.1 Advisory and assistance services	33,944	31,258	29,695	(1,563)
25.2 Other services	521,894	480,610	456,580	(24,030)
25.3 Purchases from Gov't accts.	649,201	629,311	615,154	(14,157)
25.4 O&M of facilities	18,554	17,986	17,581	(405)
25.7 Operation and maintenance of equipment	6,078	5,891	5,759	(132)
26.0 Supplies and materials	66,200	64,172	62,728	(1,444)
31.0 Equipment	140,435	136,132	133,070	(3,062)
32.0 Land & structures	6,410	6,410	6,410	-
41.0 Grants/Subsidies/Contributions	5,186,598	5,658,144	4,619,727	(1,038,417)
91.0 Unvouchered	15	15	15	-
<b>Total, Other Object Classes</b>	<b>6,977,501</b>	<b>7,347,569</b>	<b>6,253,853</b>	<b>(1,093,716)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(92,857)	(477,857)	(385,000)
Unobligated Balance, end of year	-	477,857	966,783	488,926
Recoveries of Prior Year Obligations	-	(1,200,000)	(1,200,000)	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(815,000)</b>	<b>(711,074)</b>	<b>103,926</b>
<b>Total Requirements</b>	<b>7,503,062</b>	<b>7,076,000</b>	<b>6,088,926</b>	<b>(987,074)</b>
<b>Full-time Equivalents</b>	<b>5,101</b>	<b>4,852</b>	<b>4,852</b>	<b>-</b>

### Disaster Relief Fund Mission Statement

Operating Activities includes the essential functions for all of FEMA's major mission organizations and directly supports FEMA's primary mission to reduce the loss of life and property and to protect the Nation from all hazards. Operating Activities leads and supports the Nation through a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	172,020	177,868	178,757	889
11.3 Other than full-time permanent	150,954	156,087	156,867	780
11.5 Other personnel compensation	94,603	97,820	98,309	489
12.1 Benefits	87,878	90,866	91,320	454
13.0 Unemployment Compensation	20,106	20,790	20,894	104
<b>Total, Salaries &amp; Benefits</b>	<b>525,561</b>	<b>543,431</b>	<b>546,147</b>	<b>2,716</b>

Salaries and Benefits include costs for 4,852 FTEs. FY 2013 reflects an increase of \$2,716,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$183,907</b>	<b>\$169,359</b>	<b>\$160,891</b>	<b>-\$8,468</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. There is a decrease of \$8,468,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$42,441</b>	<b>\$41,141</b>	<b>\$40,215</b>	<b>-\$926</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. There is a decrease of \$926,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$33,845</b>	<b>\$53,121</b>	<b>\$52,952</b>	<b>-\$169</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent-related services. There is a decrease of \$169,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$36,958</b>	<b>\$4,562</b>	<b>\$4,731</b>	<b>\$169</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. There is an increase of \$169,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$49,211</b>	<b>\$47,703</b>	<b>\$46,630</b>	<b>-\$1,073</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility service. There is a decrease of \$1,073,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$1,810	\$1,754	\$1,715	-\$39

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. There is a decrease of \$39,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$33,944	\$31,258	\$29,695	-\$1,563

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. There is a decrease of \$1,563,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$521,894	\$480,610	\$456,580	-\$24,030

Other services include report contracted services with non-Federal sources that are not otherwise classified under Object Class 25. There is a decrease of \$24,030,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$649,201	\$629,311	\$615,154	-\$14,157

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. There is a decrease of \$14,157,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$18,554	\$17,986	\$17,581	-\$405

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is a decrease of \$405,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$6,078	\$5,891	\$5,759	-\$132

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. There is a decrease of \$132,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$66,200</b>	<b>\$64,172</b>	<b>\$62,728</b>	<b>-\$1,444</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. There is a decrease of \$1,444,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$140,435</b>	<b>\$136,132</b>	<b>\$133,070</b>	<b>-\$3,062</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. There is a decrease of \$3,062,000 in the FY 2013 funding level as compared to FY 2012.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>\$5,186,598</b>	<b>\$5,658,144</b>	<b>\$4,619,727</b>	<b>-\$1,038,417</b>

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. FY 2013 includes a decrease \$1,038,417,000 in reflecting declining activities related to Hurricanes Katrina, Rita, and Wilma.

## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>5,645</b>	<b>5,101</b>	<b>4,852</b>
<b>Increases</b>			
<b>Decreases</b>			
Decrease in Overtime	(544)	(249)	-
<b>Subtotal, Decreases</b>	<b>(544)</b>	<b>(249)</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>5,101</b>	<b>4,852</b>	<b>4,852</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>(544)</b>	<b>(249)</b>	<b>-</b>

<sup>1</sup>FY 2011 EOY Actuals FTE amount includes overtime pay of 5,540 FTE, which is not reflected in the FY 2013 CJ.

<sup>2</sup>FTE kept constant due to unpredictability of disasters.

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Disaster Relief Fund	\$13,738	\$7,436	\$7,705	\$269
<b>Total Working Capital Fund</b>	<b>13,738</b>	<b>7,436</b>	<b>7,705</b>	<b>269</b>

**K. DHS Balanced Workforce Strategy**

**N/A**

# **Department of Homeland Security**

*Federal Emergency Management Agency  
Flood Hazard Mapping and Risk Analysis*

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Fiscal Year 2013  
Congressional Justification



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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Federal Emergency Management Agency Flood Hazard Mapping and Risk Analysis**

#### **I. Appropriation Overview**

##### **A. Mission Statement for Salaries and Expenses:**

The Flood Hazard Mapping and Risk Analysis Program addresses flood hazard data update needs and preserves the successful Flood Map Modernization investments. Risk MAP is a strategy for how FEMA delivers information necessary for flood risk reduction and disaster-resilient, sustainable community development. This integrated flood risk management approach weaves flood hazard data developed in support of the National Flood Insurance Program (NFIP) into watershed-based risk assessments that serve as the foundation for local Hazard Mitigation Plans and support community actions to reduce risk. Throughout the Risk MAP process, FEMA collaborates with communities to help them understand and take actions to manage their risks and build more resilient communities.

Flooding is the most frequent and costly natural hazard in the United States. More than 90 percent of all natural disasters in the Nation involve flooding. Changes in the climate and sea level rise in the coming decades will only increase the significance of the flood threat in this Nation. FEMA's Risk MAP program and the NFIP that it supports are essential to managing and reducing this risk. Risk MAP provides the intelligence that enables the National Flood Insurance Program and the communities implementing it to reduce the costs of flooding by supporting management and mitigation of flood risks.

FEMA manages several risk analysis programs assessing the impact of natural hazards that lead to effective strategies for reducing risk. Risk MAP is integrating and aligning the individual risk analysis programs into a more effective unified strategy. Risk MAP supports the DHS goal to strengthen capacity at all levels of society to withstand threats and hazards by improving community capacity to withstand disasters through mitigating known and anticipated hazards.

The overall goals in the FEMA Risk MAP Multi-Year Plan are:

- 1) Address gaps in flood hazard data to form a solid foundation for flood risk assessments, floodplain management, and actuarial soundness of the NFIP.
- 2) Ensure that a measurable increase of the public's awareness and understanding of risk management results in a measurable reduction of current and future vulnerability to flooding.
- 3) Lead and support States and local and tribal communities to effectively engage in risk-based mitigation planning resulting in sustainable actions that reduce or eliminate risks to life and property from natural hazards.
- 4) Provide an enhanced digital platform that improves management of limited Risk MAP resources, controls information produced by Risk MAP, and enhances communication and sharing of risk data and related products to all levels of government and the public.
- 5) Align Risk Analysis programs and develop synergies to enhance decision-making capabilities through effective risk communication and management.

## **B. Budget Activities:**

FEMA is charged with maintaining reliable flood hazard information to support NFIP, where the U.S. Government has an exposure of \$1.2 trillion. These NFIP mapping efforts simultaneously provide communities and citizens with the information they need to reduce the risk of loss of life and property from flooding. Funding for Risk MAP supports FEMA's efforts to address existing gaps in the flood hazard data inventory and address changes that continue to occur over time. The reliability of flood hazard analyses and maps erodes over time. Changes in the built environment, additional storm and precipitation data, and improvements in the engineering science all affect the currency of the risk analysis products. These changes can move in both directions: over the past seven years, as many structures have been taken out of designated Special Flood Hazard Areas (SFHA) as have been newly designated inside the SFHA. When a structure is taken out of the SFHA, the mandatory purchase requirement is removed and the price of continuing the insurance drops dramatically. While the mandatory purchase requirement may be removed, the risk for flooding is still serious and flood insurance remains the best option for protecting property against financial loss.

The primary mechanism through which Risk MAP increases local officials' awareness is through the interactions that occur during flood map updates. Awareness tends to decrease over time when years can pass between major flood events and flood map updates. Memories fade, local staff changes, and there is a natural tendency for people to minimize risks that they live with every day. The updating process ensures that the topic of flooding remains prevalent at the local level.

Through Risk MAP, FEMA is increasing its focus on community engagement activities as an integral part of flood risk study projects. FEMA is working with community officials to increase their ability to communicate about flood risk so they can educate the public they serve. The goal is to identify specific steps communities and individuals can take to mitigate their flood risk. As communication and interaction with communities in study areas increases, a corresponding increase in the flood risk awareness of community officials engaged in these studies will emerge.

## **C. Budget Request Summary:**

FEMA requests \$89.329 million in FY 2013. Funding will be used to analyze and produce flood hazard and flood risk data and map products, to communicate flood hazard risk, and for related technical services. With FY 2013 funding, FEMA will focus on reviewing and updating flood hazard data and maps to accurately reflect flood hazards for the areas with the highest flood risk and greatest update need. Flood hazard data and mapping efforts will support the goals identified in Risk MAP Multi-Year Plan and will specifically address gaps in flood hazard data to help form a solid foundation for flood risk assessments, floodplain management, and actuarial soundness of the NFIP. These funds also provide staffing, travel, operating expenses, contractual services, and grants supporting the development of flood hazard and flood risk information.

FEMA Risk MAP activities are funded from two primary sources of funds – the Flood Hazard Mapping and Risk Analysis Program appropriation and fees received from NFIP policy holders

through the National Flood Insurance Fund (NFIF) (Table 1). Both sources of funding are critical to the development and implementation of new flood maps in communities across the Nation. Without both sources of funding, Risk MAP would not be able to accomplish the goals laid out here or even maintain the flood hazard data to support NFIF. The core funding for the program, supporting all aspects of the program, comes from NFIF. The work accomplished through NFIF funding includes some map production, but primarily enables the program to: meet statutory and regulatory requirements for processing map change requests from communities and citizens; respond to stakeholder correspondence; distribute flood hazard data products; establish and maintain cost and schedule controls; track and monitor performance; and, support the development of State and local capabilities to participate in the management and delivery of Risk MAP through the Cooperating Technical Partners program and other core program functions. Funding from the NFIF supports some of the staffing, travel, and other administrative expenses for the Flood Hazard Mapping and Risk Analysis program.

**Table 1**

2013 Budget Activity	Flood Hazard Mapping and Risk Analysis	National Flood Insurance Fund	Total
Salaries & Expenses	\$8,874,000	\$9,385,000	<b>\$18,259,000</b>
Program Funds	\$80,455,000	\$106,615,000	<b>\$187,070,000</b>
<b>TOTAL</b>	<b>\$89,329,000</b>	<b>\$116,000,000</b>	<b>\$205,329,000</b>
<b>FTE</b>	<b>80</b>	<b>62</b>	<b>142</b>

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund**  
Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Flood Map Modernization Fund	56	50	204,131	85	80	97,712	85	80	89,329	-	-	(8,383)	-	-	(8,393)	-	-	10
<b>Total, Flood Map Modernization Fund</b>	<b>56</b>	<b>50</b>	<b>204,131</b>	<b>85</b>	<b>80</b>	<b>97,712</b>	<b>85</b>	<b>80</b>	<b>89,329</b>	<b>-</b>	<b>-</b>	<b>(8,383)</b>	<b>-</b>	<b>-</b>	<b>(8,393)</b>	<b>-</b>	<b>-</b>	<b>10</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>56</b>	<b>50</b>	<b>204,131</b>	<b>85</b>	<b>80</b>	<b>97,712</b>	<b>85</b>	<b>80</b>	<b>89,329</b>	<b>-</b>	<b>-</b>	<b>(8,383)</b>	<b>-</b>	<b>-</b>	<b>(8,393)</b>	<b>-</b>	<b>-</b>	<b>10</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>56</b>	<b>50</b>	<b>204,131</b>	<b>85</b>	<b>80</b>	<b>97,712</b>	<b>85</b>	<b>80</b>	<b>89,329</b>	<b>-</b>	<b>-</b>	<b>(8,383)</b>	<b>-</b>	<b>-</b>	<b>(8,393)</b>	<b>-</b>	<b>-</b>	<b>10</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Flood Map Modernization Fund**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>56</b>	<b>50</b>	<b>204,131</b>
<b>2012 Enacted Budget Authority</b>	<b>85</b>	<b>80</b>	<b>97,712</b>
2013 Adjustments-to-Base	-	-	10
<b>2013 Current Services</b>	<b>85</b>	<b>80</b>	<b>97,722</b>
2013 Program Change	-	-	(8,393)
<b>2013 Total Requested Budget Authority</b>	<b>85</b>	<b>80</b>	<b>89,329</b>
Total Change 2012 to 2013	-	-	(8,383)

FEMA requests \$89.329 million in FY 2013 for this activity. The requested FY 2013 funding will allow FEMA to continue implementing a multi-year mapping effort intended to meet the FEMA statutory requirement to review the flood hazards maps on a five-year cycle and address flood hazard data update needs over time, as funding is available. Funding will also provide for salaries and benefits and for the continuation of activities as described in the Risk MAP Multi-Year Plan, including increased contract costs due to inflation.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Risk MAP Multi-Year Plan builds on the strong foundation of the Flood Map Modernization program. Risk MAP is an integrated flood risk management approach that weaves NFIP flood hazard data into watershed-based risk assessments that serve as the basis for local hazard mitigation plans and support community actions to reduce risk. Risk assessments systematically analyze the people and property in a community or watershed potentially impacted by flood hazards to quantify physical, social, and economic losses. Risk assessment help increase understanding of risk by quantifying potential losses and support development of strategies to reduce risk.

FEMA has defined three key measures aligned with the Risk MAP vision to measure performance across all of these goals. These measures track progress in addressing gaps in flood hazard data, increase in risk awareness of local officials, and action to reduce risk.

- Ensure 80 percent of the Nation's flood hazard data is current – the flood hazard data are new, have been updated, or are deemed still valid through Risk MAP review and update process during the initial implementation of Risk MAP.
- Increase the level of local official flood risk awareness in Risk MAP communities.
- Increase the percentage of population in watersheds where Risk MAP has begun.

FEMA's FY 2013 Risk MAP approach will support local risk assessment and planning activities while addressing the flood hazard data update needs, thus enabling our citizens to increase their awareness of flood risk and ensure good planning to mitigate against these risks. The two primary focus areas are (1) coastal flood studies and (2) significant riverine flood hazard data update needs.

A. Coastal Flood Studies: FEMA will continue the effort started in 2009 to update the Nation's coastal flood hazard studies. This investment will address the remaining coastal flood hazard data update needs, representing approximately 3,100 miles of open coast.

B. Significant Riverine Flood Hazard Update Needs: FEMA will dedicate funding to update riverine hazard engineering analyses. This also includes other non-coastal flood hazards like ponding and shallow flooding and updates related to the accreditation status of levees. This investment will maintain or slightly increase the existing level of flood hazard data update needs by initiating updates for 9,000 miles of inland flooding sources. Through Risk MAP, FEMA will update the flood hazard data by watershed where necessary so that FEMA's flood hazard data is in agreement with other Federal agencies' scientific data within the watershed.

Part of FEMA's Risk MAP strategy is to invest more in monitoring the validity of published flood hazard information. Keeping pace with changes in flood hazards is important and failing to do so could lead to unwise land use decisions and construction standards. Sound, reliable flood hazard information is a necessary component of ensuring the fiscal soundness of NFIP. The principal factors that drive the need for updated flood hazard analyses are:

- Physical changes: such as manmade influences which may include new bridges culverts, levees, and development in the floodplain
- Climate changes: such as recent flood disasters or additional stream gauge data
- Engineering methodology changes: such as improved computer models and better understanding of the physics of water flow

These changes produce additional flood hazard update needs each year. As a result, even though Risk MAP will initiate 9,000 miles of new riverine analysis in FY 2013, this does not result in a significant increase in flood hazard data available or in-work that meet new, valid, or updated engineering standards.

Risk MAP uses a watershed validation evaluation strategy to track the assessment process, document engineering gaps and their resolution, and aid in prioritization for flood map updates. In FY 2013, FEMA will continue its watershed validation evaluation strategy for reviewing flood hazard

engineering data and map update needs. The results of these evaluations and other flood hazard data update needs identified throughout the mapping lifecycle will be managed systematically and will allow FEMA to effectively quantify the inventory maintenance required.

A portion of FEMA's FY 2013 effort also will be focused on the identification of current flood hazards in and around the Nation's levee systems which are located in more than one-quarter of the counties for which FEMA is providing new digital flood hazard mapping. Where the Provisionally Accredited Levee status for levee systems is expiring or when the necessary data and documentation for levee systems are provided for accreditation, FEMA will update the flood hazard data to reflect these changes. Administrator Fugate has committed to Congress that we will modify our methodology for analyzing certain types of levees. A proposed approach for addressing Congressional and stakeholder concerns was published on December 15<sup>th</sup>, 2011. Public comments were accepted through January, 2012. After evaluating all comments received, FEMA will refine the approach. Depending on the outcome of this process, the costs to implement the solution may impact the commitments made here.

During the implementation of Risk MAP, sustainable partnerships will continue to be vital. FEMA will maintain its partnerships and seek out new collaborations to support the Risk MAP program. Resources in the form of "cash match" or new data as identified in FEMA's Bluebook are highly valued and are most beneficial for the program. When targeted at known flood hazard data update needs and included in the partnership agreement, FEMA will give its highest investment priority to capable partners who provide a 25-percent cash match. FEMA typically receives these partner contributions through existing successful partnerships within the Cooperating Technical Partners (CTP) Program. While contributions from multiple sources are valuable, FEMA will consider establishing a partnership under the CTP Program in flood map update prioritization and will support those partnerships that are mutually beneficial.



## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:**                      Requirements Adjustment  
PPA:  
Program Decrease:                      Positions 0, FTE 0, Dollars \$(8,426)

Funding Profile

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	
Program Increase							-	-	(8,426)
<b>Total Request</b>	-	-	-	-	-	-	-	-	<b>(8,426)</b>

**Description of Item**

The FY 2013 Budget request will provide for additional Risk MAP projects sufficient to increase the percentage of flood hazard data that meet new, valid, or updated engineering standards, maintain local officials' flood risk awareness, and encourage local actions to reduce risk.

**Justification**

Funding in FY 2013 will provide for the annualization of salaries and benefits, and support the continuation of activities as described in the Risk MAP Multi-Year Plan.

FEMA staff is critical to the effectiveness of the Risk MAP outreach mission as the primary, most credible, interface with local governments. As more Risk MAP projects reach the delivery phase in FY 2013 and beyond, the responsibility for FEMA staff to support outreach to communities and local officials will increase.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
Federal Emergency Management Agency  
Justification of Proposed Changes in  
Flood Hazard Mapping and Risk Analysis  
Appropriation Language**

*For necessary expenses, including administrative costs, under section 1360 of the National Flood Insurance Act of 1968 (42 U.S.C. § 4101), [\$97,712,000]\$89,329,000, and such additional sums as may be provided by State and local governments or other political subdivisions for cost-shared mapping activities under section 1360(f)(2) of such Act (42 U.S.C. § 4101(f)(2)), to remain available until expended.*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>56</b>	<b>50</b>	<b>204,131</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>85</b>	<b>80</b>	<b>97,712</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	-	-	10
GSA Rent	-	-	3
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>13</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Management and Technology Efficiencies	-	-	(3)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(3)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>10</b>
 <b>FY 2013 Current Services</b>	 <b>85</b>	 <b>80</b>	 <b>97,722</b>
 <b>Program Changes</b>	 <b>-</b>	 <b>-</b>	 <b>-</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Risk MAP	-	-	(8,393)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(8,393)</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>(8,393)</b>
 <b>FY 2013 Requested Budget Authority</b>	 <b>85</b>	 <b>80</b>	 <b>89,329</b>
 <b>FY 2012 to FY 2013 Total Change</b>	 <b>-</b>	 <b>-</b>	 <b>(8,383)</b>

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	56	50	204,131
FY 2012 Enacted Budget Authority	85	80	97,712
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	13
Decreases	-	-	(3)
<b>Total, Adjustments-to-Base</b>	-	-	10
<b>FY 2013 Current Services</b>	85	80	97,722
<b>Program Changes</b>	-	-	-
Decreases	-	-	(8,393)
<b>Total, Program Changes</b>	-	-	(8,393)
<b>FY 2013 Requested Budget Authority</b>	85	80	89,329
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(8,383)

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Flood Map Modernization Fund	85	80	97,712	-	-	10	-	-	(8,393)	85	80	89,329	-	-	(8,383)
<b>Total</b>	<b>85</b>	<b>80</b>	<b>97,712</b>	<b>-</b>	<b>-</b>	<b>10</b>	<b>-</b>	<b>-</b>	<b>(8,393)</b>	<b>85</b>	<b>80</b>	<b>89,329</b>	<b>-</b>	<b>-</b>	<b>(8,383)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS OCIO - National Urban Change Indicator	-	-	290	-	-	-	-	-	-	-	-	-
New York City, New York	-	-	7,000	-	-	6,401	-	-	-	-	-	(6,401)
<b>Total Budgetary Resources</b>	-	-	<b>7,290</b>	-	-	<b>6,401</b>	-	-	-	-	-	<b>(6,401)</b>

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project/Activity:</b>												
Flood Map Modernization for the Production of Flood Maps	-	-	7,290	-	-	6,401	-	-	-	-	-	(6,401)
<b>Total Obligations</b>	-	-	<b>7,290</b>	-	-	<b>6,401</b>	-	-	-	-	-	<b>(6,401)</b>

**E. Summary of Requirements by Object Class**  
**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Flood Map Modernization Fund**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,380	6,912	6,922	10
11.5 Other personnel compensation	125	48	48	-
12.1 Benefits	1,307	1,881	1,881	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>5,812</b>	<b>8,841</b>	<b>8,851</b>	<b>10</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	728	657	657	-
22.0 Transportation of things	-	21	21	-
23.1 GSA rent	711	694	697	3
23.3 Communications, utilities, and misc. charges	46	120	120	-
25.1 Advisory and assistance services	39,147	35,975	25,701	(10,274)
25.2 Other services	85,202	51,474	51,474	-
25.3 Purchases from Gov't accts.	1,548	1,659	1,659	-
26.0 Supplies and materials	19	34	34	-
31.0 Equipment	68	115	115	-
41.0 Grants/Subsidies/Contributions	70,850	-	-	-
<b>Total, Other Object Classes</b>	<b>198,319</b>	<b>90,749</b>	<b>80,478</b>	<b>(10,271)</b>
<b>Total, Direct Obligations</b>	<b>204,131</b>	<b>99,590</b>	<b>89,329</b>	<b>(10,261)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(1,878)	-	1,878
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(1,878)</b>	<b>-</b>	<b>1,878</b>
<b>Total Requirements</b>	<b>204,131</b>	<b>97,712</b>	<b>89,329</b>	<b>(8,383)</b>
<b>Full-time Equivalents</b>	<b>50</b>	<b>80</b>	<b>80</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actuals	Enacted	Request	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
GS-15	-	1	1	-
GS-14	6	9	9	-
GS-13	9	13	13	-
GS-12	40	59	59	-
GS-11	1	3	3	-
<b>Total Permanent Positions</b>	<b>56</b>	<b>85</b>	<b>85</b>	-
Unfilled Positions EOY	6	29	29	-
Total Permanent Employment EOY	50	56	56	-
Headquarters	13	24	24	-
U.S. Field	43	61	61	-
<b>Total, Flood Map Modernization Fund</b>	<b>56</b>	<b>85</b>	<b>85</b>	-
<b>Full-time Equivalents</b>	<b>50</b>	<b>80</b>	<b>80</b>	-
Average ES Salary	-	-	-	-
Average GS Salary	74,872	74,872	75,770	898
Average Grade	12	12	12	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**



## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
Flood Map Modernization Fund  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	4,380	6,912	6,945	33
11.5 Other personnel compensation	125	48	48	-
12.1 Benefits	1,307	1,881	1,881	-
<b>Total, Personnel and Compensation Benefits</b>	<b>5,812</b>	<b>8,841</b>	<b>8,874</b>	<b>33</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	728	657	657	-
22.0 Transportation of things	-	21	21	-
23.1 GSA rent	711	694	697	3
23.3 Communications, utilities, and misc. charges	46	120	120	-
25.1 Advisory and assistance services	39,147	35,975	25,668	(10,307)
25.2 Other services	85,202	51,474	51,474	-
25.3 Purchases from Gov't accts.	1,548	1,659	1,659	-
26.0 Supplies and materials	19	34	34	-
31.0 Equipment	68	115	115	-
41.0 Grants/Subsidies/Contributions	70,850	-	-	-
<b>Total, Other Object Classes</b>	<b>198,319</b>	<b>90,749</b>	<b>80,445</b>	<b>(10,304)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(1,878)	-	1,878
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(1,878)</b>	-	<b>1,878</b>
<b>Total Requirements</b>	<b>204,131</b>	<b>97,712</b>	<b>89,319</b>	<b>(8,393)</b>
<b>Full-time Equivalents</b>	<b>50</b>	<b>80</b>	<b>80</b>	-

### Flood Map Modernization Fund Mission Statement

The Flood Hazard Mapping and Risk Analysis Program addresses flood hazard data update needs and preserves the successful Flood Map Modernization investment. The requested funding will allow FEMA to continue implementing a multi-year effort intended to meet the FEMA statutory requirement to review the flood hazards maps on a five-year cycle and address flood hazard data update needs. With FY 2013 funding, FEMA will continue risk Mapping, Assessment, and Planning (Risk Map) following the strategy outlined in the Risk MAP Multi-Year Plan. The plan articulates a strategy for how FEMA delivers information necessary for flood risk reduction and sustainable community development. This integrated flood risk management approach weaves county-level flood hazard data developed in support of the National Flood Insurance Program (NFIP) into watershed-based risk assessments that serve as the foundation for local Hazard Mitigation Plans and targeted risk communication activities. FEMA will focus the FY 2013 investment on addressing flood hazard data update needs for coastal and riverine flood hazard areas, and on expanding and improving utility and accessibility for the flood hazard and flood risk data.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	4,380	6,912	6,945	33
11.5 Other personnel compensation	125	48	48	-
12.1 Benefits	1,307	1,881	1,881	-
<b>Total, Salaries &amp; Benefits</b>	<b>5,812</b>	<b>8,841</b>	<b>8,874</b>	<b>33</b>

Salaries and Benefits support 85 full time permanent positions in FY 2013. FY 2013 includes a 0.5% increase for Salaries and Benefits.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.1 Rental payments to GSA</b>	<b>711</b>	<b>694</b>	<b>697</b>	<b>3</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2013 includes an increase of \$3,000 for actual increase in rental costs.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>39,147</b>	<b>35,975</b>	<b>25,668</b>	<b>(10,307)</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. FY 2013 reflects a decrease in contracted services for map production and other services due to program reductions and efficiencies.

## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>50</b>	<b>50</b>	<b>80</b>
<b>Increases</b>			
FTE estimate for insourced positions	-	24	-
Annualization of vacancy fills in FY 2012	-	6	-
<b>Subtotal, Increases</b>	<b>-</b>	<b>30</b>	<b>-</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>50</b>	<b>80</b>	<b>80</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>30</b>	<b>-</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actuals Amount</b>	<b>FY 2012 Enacted Amount</b>	<b>FY 2013 Request Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Flood Map Modernization Fund	\$173	\$259	\$285	\$26
<b>Total Working Capital Fund</b>	<b>173</b>	<b>259</b>	<b>285</b>	<b>26</b>

**K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience, and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into tiered ranking. The results of Tier 1 contract review are listed below.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow-on		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos.	FTE
Program Analyst	0	0	28	24	0	0	0	0	0	0	28	24
<b>Total</b>	<b>0</b>	<b>0</b>	<b>28</b>	<b>24</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28</b>	<b>24</b>

The Federal Emergency Management Agency requests \$2.7 million and 24 FTE for the FY 2013 DHS Balanced Workforce Strategy.

### **Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

Initially, this effort was identified as part of Secretary Napolitano's Department-wide Efficiency Review, and was determined to be an effective balance of contractors to Federal employees throughout the Department, and converting contractor positions to Federal employees when feasible and appropriate. In FY 2012, FEMA will convert contractor positions related to its Flood Map Modernization (Risk Map) to full-time and permanent positions. \$2.7 million for salaries and benefits in support of these positions is included in the current services level for FY 2013.

**Department of  
Homeland Security**  
*Federal Emergency Management Agency  
National Flood Insurance Fund*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

Federal Emergency Management Agency  
**National Flood Insurance Fund**

### **I. Appropriation Overview**

#### **A. Mission Statement for National Flood Insurance Fund:**

The National Flood Insurance Fund (NFIF), which was established by the National Flood Insurance Act of 1968 (42 U.S.C. § 4001 et seq.), is a premium revenue and fee-generated fund that supports the National Flood Insurance Program (NFIP). The Act, as amended, authorizes the Federal Government to provide flood insurance on a national basis to owners of properties located in vulnerable areas. The National Flood Insurance Reform Act of 1994 (P.L.103-325) made flood insurance mandatory for all federally backed mortgages of properties located in the special flood hazard areas (SFHA). Currently, the NFIP insures more than 5.5 million residential and commercial policyholders totaling approximately \$1.2 trillion in insurance coverage. By supporting flood hazard reduction grant programs and floodplain management efforts, the National Flood Insurance Program estimates that more than \$1.7 billion in flood-related losses are avoided annually.

The NFIP is not simply an insurance program. It works to reduce the cost of flood damage through identifying, analyzing, and reducing flood risk. FEMA applies insurance-industry concepts and methods to reduce the Nation's vulnerability to floods, America's most costly natural disasters, and provides consumer-oriented flood insurance to accelerate recovery from floods, to mitigate future losses, and to reduce personal and national costs of flood disasters by managing the National Flood Insurance Program (NFIP). FEMA administers the NFIP so that insurance and floodplain management policies and operations are mutually reinforcing. Further, FEMA works to increase the NFIP policy base so that more people are indemnified by insurance for future flood losses, facilitating their recovery, rebuilding communities, and reducing costs to taxpayers. By encouraging and supporting mitigation efforts, FEMA leads our Nation in reducing the impact of all disasters.

NFIP consists of three major functions that focus on reducing flood risk and the impact of flood disasters:

**Flood Hazard Mapping and Risk Analysis:** The first component of the business strategy requires reliable information about flood risk. The Risk Mapping, Assessment, and Planning (Risk MAP) Program addresses flood hazard data update needs and preserves the successful Flood Map Modernization investment. This is a multi-year mapping effort intended to meet the FEMA statutory requirement to review the flood hazards maps on a five-year cycle, and address flood hazard data update needs over time, as funding is available. This integrated flood risk management approach weaves county-level flood hazard data developed in support of NFIP into watershed-based risk assessments that serve as the foundation for local Hazard Mitigation Plans and targeted risk communication activities. Throughout the Risk MAP process, FEMA collaborates with communities to help them understand and take actions to manage their risks.

**Reducing Flood Risk:** The second component of the business strategy is to reduce the risk associated with flood events through floodplain management, as well as through flood-related grants and assistance

such as Flood Mitigation Assistance (FMA), Repetitive Flood Claims (RFC), and Severe Repetitive Loss (SRL).

FEMA promotes sound local floodplain management to reduce the risk to new or planned buildings and infrastructure, and funding in the form of flood-related grants for reducing existing community risk. The NFIP plays a critical role in encouraging communities to adopt and enforce floodplain management regulations and to implement broader floodplain management programs aimed at reducing risk to new or planned buildings and infrastructure. By law, FEMA can only provide flood insurance to those States or communities that adopt and vigorously enforce floodplain management regulations that meet or exceed minimum NFIP requirements. Communities incorporate NFIP requirements into their zoning codes, subdivision ordinances, and/or building codes, or they adopt special purpose floodplain management ordinances.

NFIP requirements include:

- Elevation of new and substantially improved residential structures above the base flood level.
- Elevation or dry floodproofing (made watertight) of new or substantially improved non-residential structures.
- Regulation of development in floodways, the central portion of a riverine floodplain needed to carry deeper and faster moving water, to ensure that there are no increases in upstream flood elevations.
- Additional requirements to protect buildings in coastal areas from the impacts of waves, high velocity, and storm surge.

These requirements are the most cost-effective way to reduce the flood risk to new buildings and infrastructure. Structures built to NFIP standards experience 80 percent less damage than structures not built to these standards, and have resulted in \$1.7 billion per year in reduced flood losses.

FEMA provides funding to reduce the risk of flood damage to existing buildings and infrastructure by providing flood-related grants to States, communities, and tribal nations. NFIP funds three programs specifically designed to reduce the fund's loss exposure. The FMA program provides funds on an annual basis so that measures can be taken to reduce or eliminate risk of flood damage to buildings insured under NFIP. The RFC program provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under NFIP that have had one or more flood claim payments. The SRL program provides funds on an annual basis to reduce the risk of flood damage to residential structures insured under NFIP that are qualified as severe repetitive loss structures.

**Insuring Flood Risk:** The third component of the business strategy is to insure against flood loss. NFIP provides a vehicle through which homeowners can take an active role in protecting their property against flood losses. Property owners who live in communities participating in NFIP can purchase affordable protection to insure against flood losses. Since 1969, NFIP has paid more than \$36 billion dollars in flood insurance claims that have helped hundreds of thousands of families and businesses recover from flood events. Most people who live or own businesses in NFIP-participating communities are eligible to purchase federally backed flood insurance. Even after a property has been

damaged by flood previously, owners and renters are still eligible to purchase flood insurance, provided that the community is participating in NFIP.

Residents who live in Special Flood Hazard Areas are required by law to purchase flood insurance if they have a mortgage from a federally regulated lender. They also must carry the insurance for the life of the mortgage. Residents with property outside high-risk areas can also purchase flood insurance and may be eligible for significant premium rate reductions. Flood Insurance Operations manages the insurance program by supporting various management activities, including underwriting, operations, and claims payments.

The following chart illustrates the steps that can be taken to reduce flood risk:



**B. Budget Activities:**

Funding for the National Flood Insurance Program is derived from offsetting collections two primary sources:

- Flood insurance premiums, which are used to pay claims and flood-related grants, and to provide funding to support the operating and administrative costs associated with maintaining the program. FEMA estimates mandatory premium collections of \$3.38 billion in FY 2013.
- Policy fee income, also paid by flood insurance policy holders, which supports floodplain management, flood mapping, insurance operations, and NFIP management. For FY 2013, FEMA projects fee collections of \$171 million, which reflects no change in funding from FY 2012.

The NFIP appropriation supports the following key program elements:

### **NFIP Management and Flood Insurance Operations**

**NFIP Management** – NFIP management reflects the overall management of the Flood Insurance Program. FEMA applies insurance concepts and methods to reduce the Nation's vulnerability to natural hazards and manages NFIP to provide consumer-oriented flood insurance to accelerate recovery from floods, to mitigate future losses, and to reduce personal and national costs of flood disasters. FEMA administers NFIP so that insurance and floodplain management policies and operations are mutually reinforcing. Further, FEMA works to increase the NFIP policy base so that more people are indemnified by insurance for future flood losses, facilitating their recovery, rebuilding communities, and reducing costs to taxpayers.

**Flood Insurance Operations** - Flood Insurance Operations provides for all aspects of managing the insurance program including: the development and oversight of insurance coverage policy and regulations; analysis and evaluation of insurance risks and claims data used to determine premium rates; and, oversight of insurance companies that write flood insurance policies and adjust claims.

### **Floodplain Management and Flood Mapping**

**Flood Hazard Mapping and Risk Analysis** - The Risk MAP Program is a multi-year mapping effort intended to meet the FEMA statutory requirement to review the flood hazards maps on a five-year cycle and address flood hazard data update needs over a longer time horizon, as funding is available. This integrated flood risk management approach weaves county-level flood hazard data developed in support of NFIP into watershed-based risk assessments that serve as the foundation for local Hazard Mitigation Plans and targeted risk communication activities. Throughout the Risk MAP process, FEMA collaborates with communities to help them understand and take actions to manage their risks.

**Floodplain Management** - NFIP plays a critical role in encouraging communities to adopt and enforce floodplain management regulations. Communities are informed and educated about the benefits of implementing broader floodplain management programs aimed at reducing risk to new or planned buildings and infrastructure. By law, FEMA can provide flood insurance only to those States or communities that adopt and vigorously enforce floodplain management regulations that meet or exceed minimum NFIP requirements. NFIP works with communities to incorporate these requirements into their zoning codes, subdivision ordinances, and/or building codes. In some cases, communities receive assistance with efforts to adopt special purpose floodplain management ordinances.

### **National Flood Insurance Fund (Mandatory)**

The National Flood Insurance Act of 1968 (42 U.S.C. § 4001 et seq.), as amended, authorizes the Federal Government to provide flood insurance on a national basis. Flood insurance may be sold or continued only in communities that participate in NFIP, and that enact and enforce appropriate floodplain management measures. Federally regulated funding institutions cannot provide loans for properties in nonparticipating communities with an identified flood hazard.

## **Flood-Related Grants**

NFIF supports flood hazard reduction efforts facilitated through its flood-related grants and assistance program: FMA, RFC, and SRL. These programs reduce the risk of flood damage to existing buildings and infrastructure by providing grants to States, communities, and tribal nations. FMA grants provide funds for activities that decrease or eliminate risk of flood damage to structures insured under NFIP. RFC grants fund activities that decrease the long-term risk of flood damage to structures with one or more claims through the NFIP. SRL grants fund activities that decrease the long-term risk of flood damage to residential structures insured under NFIP that have experienced losses from previous flood damage.

### **C. Budget Request Summary:**

FEMA requests budget authority from mandatory premium collections of \$3.38 billion and \$171 million from Federal Policy Fee income in FY 2013. The increase is due to additional revenue collections from estimated policies in force increases and flood policy rate increases. FEMA estimates that the policies in force net growth will be less than originally anticipated in a time of economic stress. Original estimates for FY 2012 and FY 2013 was one-percent net growth (generates approximately \$4 million in net fee revenue). The FY 2013 estimate has been revised downward to one-half of one-percent net growth (generates approximately \$2 million in net fee revenue). For FY 2013, FEMA projects fee collections of \$171.0 million, which reflects no change in funding from FY 2012. Premium collections will be used to pay NFIP claims in addition to operating expenses. These funds also will support the flood-related grants: FMA, RFC, and SRL programs. However, unobligated balances will be the primary source of funding for the Severe Repetitive Loss program in FYs 2012 and 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project /Activity (PPA)

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**National Flood Insurance Fund**  
 Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Request  
 (Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount
Flood Mitigation and Flood Insurance Operations	87	77	13,844	92	75	22,000	92	75	22,000	-	-	-	-	-	-	-	-	-
Floodplain Management and Flood Mapping	202	195	161,752	218	205	149,000	218	205	149,000	-	-	-	-	-	-	-	-	-
<b>Subtotal, Mandatory</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Subtotal, Discretionary</b>	<b>289</b>	<b>272</b>	<b>175,596</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	-	-	-	-	-	-	-	-	-
<b>Total, National Flood Insurance Fund (Discretionary):</b>	<b>289</b>	<b>272</b>	<b>175,596</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	-	-	-	-	-	-	-	-	-
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>289</b>	<b>272</b>	<b>175,596</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	-	-	-	-	-	-	-	-	-
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>289</b>	<b>272</b>	<b>175,596</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	<b>310</b>	<b>280</b>	<b>171,000</b>	-	-	-	-	-	-	-	-	-

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund**  
Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Request  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	Posi tions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount	Positions	FTE	Amount
National Flood Insurance Fund - Mandatory	-	-	1,351,627	-	-	3,042,748	-	-	3,260,000	-	-	217,000	-	-	217,000	-	-	-
Flood-Related Grants	29	29	208,620	29	27	60,000	29	27	120,000	-	-	60,000	-	-	60,000	-	-	-
<b>Subtotal, Mandatory</b>	<b>29</b>	<b>29</b>	<b>1,560,247</b>	<b>29</b>	<b>27</b>	<b>3,102,748</b>	<b>29</b>	<b>27</b>	<b>3,380,000</b>	-	-	<b>277,000</b>	-	-	<b>277,000</b>	-	-	-
<b>Total, National Flood Insurance Fund (mandatory):</b>	<b>29</b>	<b>29</b>	<b>1,560,247</b>	<b>29</b>	<b>27</b>	<b>3,102,748</b>	<b>29</b>	<b>27</b>	<b>3,380,000</b>	-	-	<b>277,000</b>	-	-	<b>277,000</b>	-	-	-
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>29</b>	<b>29</b>	<b>1,560,247</b>	<b>29</b>	<b>27</b>	<b>3,102,000</b>	<b>29</b>	<b>27</b>	<b>3,380,000</b>	-	-	<b>277,000</b>	-	-	<b>277,000</b>	-	-	-
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	-	-	-	-	(3,102,748)	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>29</b>	<b>29</b>	<b>1,560,247</b>	<b>29</b>	<b>27</b>	-	<b>29</b>	<b>27</b>	<b>3,380,000</b>	-	-	<b>277,000</b>	-	-	<b>277,000</b>	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Flood Mitigation and Flood Insurance Operations  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Flood Mitigation and Flood Insurance Operations**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>87</b>	<b>77</b>	<b>13,844</b>
<b>2012 Enacted</b>	<b>92</b>	<b>75</b>	<b>22,000</b>
<b>2013 Current Services</b>	<b>92</b>	<b>75</b>	<b>22,000</b>
<b>2013 Total Request</b>	<b>92</b>	<b>75</b>	<b>22,000</b>
Total Change 2012 to 2013	-	-	-

For FY 2013, FEMA requests \$22 million from Federal policy fee revenue to support salaries and operating costs for the flood mitigation and flood insurance operations activities.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Flood Mitigation and Flood Insurance Operations activities include management and oversight of NFIP insurance activities, business operations support, stakeholder engagement and outreach support, business process management and improvement activities, and information systems support activities associated with the Federal Insurance and Mitigation Administration's (FIMA) executive oversight.



**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Floodplain Management and Flood Mapping  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Floodplain Management and Flood Mapping**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>202</b>	<b>195</b>	<b>161,752</b>
<b>2012 Enacted</b>	<b>218</b>	<b>205</b>	<b>149,000</b>
<b>2013 Current Services</b>	<b>218</b>	<b>205</b>	<b>149,000</b>
<b>2013 Total Request</b>	<b>218</b>	<b>205</b>	<b>149,000</b>
Total Change 2012 to 2013	-	-	-

For FY 2013, FEMA requests \$149 million from Federal policy fee revenue to support salaries and operating costs for ongoing floodplain management and flood mapping efforts.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Floodplain Management:**

The Floodplain Management Branch oversees programs that are designed to reduce risk through land use and building code regulations. Floodplain management activities are authorized under the National Flood Insurance Act, as amended. Through these programs, FEMA encourages communities and their citizens to take informed and effective mitigation actions before a flood in order to reduce the long-term risk to people and property. Structures built to NFIP standards experience 80 percent less damage than structures not built to these standards.

FEMA and States partner in the Community Assistance Program-State Support Services Element (CAP-SSSE) program to provide a means to ensure that communities participating in NFIP are achieving the flood loss reduction goals of the NFIP through a state grant mechanism. CAP-SSSE funds States to provide significant technical assistance to NFIP communities and to evaluate community performance in implementing NFIP floodplain management activities with the additional goal of building State and community floodplain management expertise and capability. The grant is a product-oriented program directly related to the flood loss reduction objectives of NFIP.

The \$1.7 billion losses-avoided number is based on a study that was conducted in 2000. The losses-avoided study estimated that minimum NFIP floodplain management standards resulted in approximately \$1 billion in annual flood losses avoided. Subsequent to 2000, FIMA has extrapolated

the \$1 billion losses avoided every year based on a yearly estimation of new construction starts. FIMA did not increase the number of new construction starts in FY 2013 based on the severe nationwide slowdown in new construction starts. In FY 2011, FIMA has funded a new losses-avoided study to validate/improve on the methodology. The study should be completed by the end of FY 2012.

NFIF supports the salaries and expenses of program management and implementation staff at FEMA's Headquarters and 10 regional offices that administer floodplain management programs. The responsibilities of these offices include reducing flood risk through floodplain management and flood hazard reduction efforts, providing technical assistance to communities participating in NFIP, and administration of the CAP-SSSE grant program. The salaries and expenses funding allows program staff: to deliver technical assistance to NFIP participating communities; to strengthen local flood loss reduction programs through onsite visits; and, to provide funding for the necessary supplies and equipment, including computer equipment and other needed resources, to meet the mission of the program.

#### **Flood Hazard Mapping and Risk Analysis:**

The Flood Hazard Mapping and Risk Analysis Program addresses flood hazard data update needs and preserves the successful Flood Map Modernization investment. The requested FY 2013 funding will allow FEMA to continue implementing a multi-year mapping effort that meets the FEMA statutory requirement to review the flood hazards maps on a five-year cycle and address flood hazard data update needs over a longer time horizon, as funding is available. With FY 2013 funding, FEMA will continue Risk MAP as outlined in the Risk MAP Multi-Year Plan. The plan articulates a strategy for how FEMA delivers information necessary for flood risk reduction and sustainable community development. This integrated flood risk management approach weaves county-level flood hazard data developed in support of the NFIP into watershed-based risk assessments that serve as the foundation for local Hazard Mitigation Plans and targeted risk communication activities. FEMA will focus the FY 2013 investment on addressing flood hazard data update needs for coastal and riverine flood hazard areas, and expanding and improving utility and accessibility of the flood hazard and flood risk data.

FEMA's Risk MAP activities are funded from two primary sources of funds – the Flood Hazard Mapping and Risk Analysis Fund and the NFIF. Both sources of funding are critical to the development and implementation of new flood maps in communities across the Nation. The NFIF funding is the core funding for the program and supports all aspects of the program. The Flood Hazard Mapping and Risk Analysis Program funding supports map production and technical services.

Risk MAP measures to track progress towards this outcome are:

- 80 percent of the Nation's flood hazards data is current – the flood hazard data are new, have been updated, or deemed still valid.
- Local officials are aware of risks from natural hazards.
- Communities take action to reduce risk.

The detailed production accomplishments for Risk MAP are described in the justification for the Flood Hazard Mapping and Risk Analysis Program appropriation.

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
National Flood Insurance Fund - Mandatory  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: National Flood Insurance Fund - Mandatory**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	-	-	<b>1,351,627</b>
<b>2012 Enacted</b>	-	-	<b>3,043,000</b>
<b>2013 Current Services</b>	-	-	<b>3,043,000</b>
2013 Program Change	-	-	217,000
<b>2013 Total Request</b>	-	-	<b>3,260,000</b>
Total Change 2012 to 2013	-	-	217,000

FEMA requests \$3.26 billion in FY 2013 for this activity, a \$217,000 increase from the FY 2012 anticipated premium revenue. Funding will provide for the payment of flood claims and operating costs of the program including Write Your Own (WYO) expenses and commissions and interest expenses.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**NFIP Management** is the overall management and oversight of the NFIP operations including the selling and servicing of policies provided by the NFIP WYO partners. FEMA and its partners apply insurance industry concepts and methods to provide consumer-oriented flood insurance to accelerate recovery from floods. FEMA administers the NFIP so that insurance and floodplain management policies and operations are mutually reinforcing. Furthermore, FEMA works to increase the NFIP policy base so that more people are indemnified by insurance for future flood losses, facilitating their recovery, rebuilding communities, and reducing costs to taxpayers. Activities in this category include selling and servicing flood insurance policies, claims, and establishing appropriate premium rates.

**NFIP Operation Expenses** - FEMA provides for management and oversight of the insurance component of NFIP. This includes the development and oversight of insurance coverage policy and regulations; analysis and evaluation of insurance risks and claims data used to determine premium rates; and, oversight of insurance companies that write flood insurance policies and adjust claims. It also includes crosscutting activities such as the Community Rating System (CRS) program and NFIP operations in a post-disaster environment. Under the CRS, flood insurance premium rates are adjusted to reflect the reduced flood risk resulting from community activities that meet CRS goals, including reduction of flood losses, accurate insurance rating, and promotion of flood insurance awareness.

Participating communities are rated by Class from 1 to 10, with Class 1 communities receiving the greatest premium rate reductions. Nonparticipating communities are rated as Class 10. Credits can be applied toward a community's CRS classification for various activities under the following floodplain management headings: Public Information, Mapping Regulations, Flood Damage Reduction, and Flood Preparedness. To support post-disaster operations, resources are provided: 1) to equip the mitigation disaster workforce with standards, training, and job aides to consistently inform disaster applicants about the NFIP in a post-disaster environment; and, 2) to effectively integrate NFIP into disaster operations, national disaster policy analysis, and crosscutting program and administrative issues.

Flood Insurance Operations activities include:

- Actuarial management to analyze insurance risks, claims data, and financial models in order to evaluate and communicate all aspects of the financial solvency of the program and to set the appropriate premium rates.
- Operations management for more than 5.6 million NFIP flood policies with more than \$1.2 trillion of insurance in force, to include issuance, renewal, claims, and resolution of claims appeals.
- Underwriting management to set policy and develop regulations regarding insurance coverage eligibility and the classification of risks.
- Claims management to set policy and develop regulations regarding the adjustment and payment of claims.
- Management of the private insurance companies that write flood insurance policies and adjust claims for the NFIP, including conducting periodic operational reviews.
- Education, training, and technical assistance for private insurance company agents and adjustors.
- Management of the vendors that supply services to NFIP, such as the Bureau and Statistical Agent and the Direct Servicing Agent.
- Management of flood insurance marketing and public communications, including advertising, community outreach programs, and publicity.
- Partnering with stakeholders in the private sector and other government agencies, including lenders who require the purchase of flood insurance for certain loans.

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Flood-Related Grants  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Flood-Related Grants**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>29</b>	<b>29</b>	<b>208,620</b>
<b>2012 Enacted</b>	<b>29</b>	<b>27</b>	<b>60,000</b>
<b>2013 Current Services</b>	<b>29</b>	<b>27</b>	<b>60,000</b>
2013 Program Change	-	-	60,000
<b>2013 Total Request</b>	<b>29</b>	<b>27</b>	<b>120,000</b>
Total Change 2012 to 2013	-	-	60,000

FEMA requests \$120 million in FY 2013 for this activity, a \$60 million increase from the FY 2012 anticipated premium revenue. Funding will provide for the payment of flood-related grants.

A component of the business strategy is to reduce the risk associated with flood events through floodplain management as well as through flood-related grants and assistance such as FMA, RFC, and SRL.

FEMA provides funding to reduce the risk of flood damage to existing buildings and infrastructure by providing flood-related grants to States, communities, and tribal nations. The FMA program provides funds on an annual basis so that measures can be taken to reduce or eliminate risk of flood damage to buildings insured under the NFIP. The RFC program provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under NFIP that have had one or more flood claim payments. The SRL program provides funds on an annual basis to reduce the risk of flood damage to residential structures insured under NFIP that are qualified as severe repetitive loss structures.

FEMA continues efforts to unify and align the FMA, RFC, and SRL programs wherever possible to improve efficiency and ease of use for our State and local partners. In recent years, program application periods were synchronized, program guidance was unified, and applications submitted to programs without available funding were considered for funding under programs with available funds. Legislation amending the National Flood Insurance Act that passed the House of Representatives would combine these three programs into a single program. If such authorization were signed into law, the new law would further improve FEMA's efficient delivery of flood-related grants to States and

local communities, thereby reducing future claims to NFIP. Without further action by the legislature, FEMA will continue to advance efforts to align these programs to the extent practicable.

At the end of FY 2011, FEMA had approximately \$33 million in SRL carryover funds that were not allocated to specific projects. The FY 2012 SRL appropriation was \$10 million dollars. FEMA received \$65 million in grant application requests, therefore all funds that are not allocated will be dedicated to current year projects.

In FY 2013, FEMA proposes \$120 million for the flood-related grants. Unlike prior fiscal years where each grant program was allocated a specific amount, in FY 2013 FEMA requests that the specific amount utilized in each program be determined by the Administrator in consideration of Agency policy and best interest of the NFIF.

In FY 2005, under FEMA's direction, the Multi-hazard Mitigation Council (MMC) conducted a study<sup>1</sup> to assess the cost-effectiveness of natural hazard mitigation at the program level. The study showed that on average, a dollar spent by FEMA on hazard mitigation provides the Nation about four dollars in future benefits. In addition, FEMA grants to mitigate the effects of floods, hurricanes, tornadoes, and earthquakes between 1993 and 2003 are expected to save more than 220 lives and prevent almost 4,700 injuries over approximately 50 years (MMC, 2005). However, the study was based on probabilistic hazard events rather than actual events. Programs considered in that report included the FMA program funded by NFIF, the Hazard Mitigation Grant Program funded by the Disaster Relief Fund, and Project Impact, which is no longer appropriated but was the precursor to the Pre-disaster Mitigation program.

## **CURRENT SERVICES PROGRAM DESCRIPTION:**

### **Flood-Related Grant Program – Severe Repetitive Loss**

The SRL Program is a mandatory program which provides funding to reduce or eliminate the long-term risk of flood damage to severe repetitive loss residential structures insured under NFIP. Section 1361A of the National Flood Insurance Act (42 U.S.C. § 4102a) defines an SRL property as a residential property that is covered under an NFIP flood insurance policy and (a) that has at least four NFIP claim payments (including building and contents) of more than \$5,000 each, and the cumulative amount of such claims payments exceeds \$20,000; or (b) for which at least two separate claims payments (building payments only) have been made with the cumulative amount of the building portion of such claims exceeding the market value of the building.

For both (a) and (b) above, at least two of the referenced claims must have occurred within any 10-year period, and must be greater than 10 days apart. There are more than 10,000 properties meeting the legislative definition of severe repetitive loss. The long-term goal of the SRL Mitigation Program is to reduce or eliminate claims under NFIP through project activities that will result in the greatest savings to NFIF in the shortest period of time. FEMA may contribute up to 75 percent in Federal funding for the amount approved under the grant award to implement approved activities. Any state or federally recognized Indian tribal government that has taken actions to reduce the number of repetitive loss properties, including severe repetitive loss properties, and that has a FEMA-approved State Mitigation

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<sup>1</sup> Natural Hazard Mitigation Saves: An Independent Study to Assess the Future Savings from Mitigation Activities; Multi-hazard Mitigation Council of the National Institute of Building Sciences, 2005.

Plan that specifies how it has reduced and how it intends to reduce the number of such repetitive loss properties, is eligible to receive an increased Federal cost share of up to 90 percent Federal funding for SRL grants. Unlike the other flood mitigation grant programs, SRL focuses on the most severe repetitive loss residential structures.

#### **Flood-Related Grant Program - Repetitive Flood Claims**

The RFC grant program was established by the Flood Insurance Reform Act of 2004 (P.L. 108-264) as a mandatory program that provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under NFIP that have had one or more flood claim payments. The long-term goal of the RFC program is to reduce or eliminate claims under NFIP through mitigation activities that are in the best interest of the NFIP. RFC grants are awarded on a national basis without reference to State allocations, quotas, or other formula-based allocations of funds. Funding is restricted to a maximum of \$1 million for minor localized flood reduction projects. RFC grants are not limited to residential flood mitigation projects.

#### **Flood-Related Grant Program - Flood Mitigation Assistance**

The FMA grant program is a mandatory program which provides funding to States, federally recognized Indian tribal governments, and communities so that cost-effective measures can be taken to reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insured under NFIP.

The total amount of FMA grant funds provided during any five-year period will not exceed \$10 million to any State agency or \$3.3 million to any community. The total amount of FMA grant funds provided to any State, including all communities located in the State, will not exceed \$20 million during any five-year period. However, the Administrator may waive these limits for any five-year period when a major disaster or emergency is declared pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act as a result of flood conditions.

FMA is an allocation-based program, in which FEMA determines and distributes annual program allocations to all 56 States and territories. FMA allocations are based on a number of factors, which include number and dollar amount of NFIP-insured policies, as well as the number and dollar amount of repetitive loss properties per State or territory. During the 2010 FMA application period, FEMA assisted States and territories in developing applications for consideration and submittal. This resulted in more applications being submitted for consideration than the amount of funding available. The applications that were found eligible were in part funded using 2011 appropriated funds.

#### **IV. Program Justification Changes**

**N/A**



## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

**Department of Homeland Security  
Federal Emergency Management Agency  
Justification of Proposed Changes in National Flood Insurance Fund  
Appropriation Language**

*For activities under the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.) and the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001 et seq.), [\$171,000,000] \$171,000,000, which shall remain available until September 30, 2014, and shall be derived from offsetting collections assessed and collected under section 1308(d) of the National Flood Insurance Act of 1968 (42 U.S.C. 4015(d));], which is available for salaries and expenses associated with flood mitigation and flood insurance operations; and floodplain management and flood mapping: Provided, That [of which] not to exceed \$22,000,000 shall be available for salaries and expenses associated with flood mitigation and flood insurance operations; and not less than [\$149,000,000] \$149,000,000 shall be available for flood plain management and flood mapping[, which shall remain available until September 30, 2013]: Provided further, That any additional fees collected pursuant to section 1308(d) of the National Flood Insurance Act of 1968 (42 U.S.C. 4015(d)) shall be credited as an offsetting collection to this account, to be available for flood plain management and flood mapping: Provided further, That in fiscal year [2012] 2013, no funds shall be available from the National Flood Insurance Fund under section 1310 of that Act (42 U.S.C. 4017) in excess of:*

- (1) \$132,000,000 for operating expenses;*
- (2) [\$1,007,571,000] \$1,056,602,000 for commissions and taxes of agents;*
- (3) such sums as are necessary for interest on Treasury borrowings; and*
- (4) [\$60,000,000] \$120,000,000, which shall remain available until expended, for flood mitigation actions; [of which not less than \$10,000,000 is for severe repetitive loss properties under section 1361A of the National Flood Insurance Act of 1968 (42 U.S.C. 4102a); of which \$10,000,000 shall be] for repetitive insurance claims properties under section 1323 of the National Flood Insurance Act of 1968 (42 U.S.C. 4030); and [of which \$40,000,000 shall be] for flood mitigation assistance under section 1366 of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c), notwithstanding subparagraphs (B) and (C) of subsection (b)(3) and subsection (f) of section 1366 of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c) and notwithstanding subsection (a)(7) of section 1310 of the National Flood Insurance Act of 1968 (42 U.S.C. 4017): Provided further, That the amounts collected under section 102 of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4012a) and section 1366(i) of the National Flood Insurance Act of 1968 shall be deposited in the National Flood Insurance Fund to supplement other amounts specified as available for section 1366 of the National Insurance Act of 1968, notwithstanding subsection (f)(8) of such section 102 (42 U.S.C. 4012a(f)(8) and subsection 1366(i) and paragraphs (2) and (3) of section 1367(b) of the National Flood Insurance Act of 1968 (42 U.S.C. 4104c(i), 4104d(b)(2)-(3)): Provided further, That total administrative costs shall not exceed 4 percent of the total appropriation.*

## B. FY 2012 to FY 2013 Budget Change - Discretionary

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	<b>289</b>	<b>272</b>	<b>175,596</b>
<b>FY 2012 Enacted</b>	<b>310</b>	<b>280</b>	<b>171,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	149
GSA Rent	-	-	216
<b>Total, Increases</b>	-	-	<b>365</b>
<b>Decreases</b>	-	-	-
Management and Technology Efficiencies	-	-	(365)
<b>Total, Decreases</b>	-	-	<b>(365)</b>
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	<b>310</b>	<b>280</b>	<b>171,000</b>
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>Offsetting Collection</b>	<b>310</b>	<b>280</b>	<b>(171,000)</b>
<b>2013 Request</b>	-	-	-
<b>FY 2012 to FY 2013 Total Change</b>	-	-	-

## B. FY 2012 to FY 2013 Budget Change - Mandatory

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	<b>40</b>	<b>29</b>	<b>1,560,247</b>
<b>FY 2012 Enacted</b>	<b>29</b>	<b>27</b>	<b>3,102,748</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	-	-	10
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>10</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
GSA Rent	-	-	(2)
Management and Technology Efficiencies	-	-	(8)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(10)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2013 Current Services</b>	<b>29</b>	<b>27</b>	<b>3,102,748</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Technical Adjustment	-	-	252
Flood-Related Grants	-	-	60,000
National Flood Insurance Fund Related	-	-	217,000
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>277,252</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>277,252</b>
<b>Total Authority</b>	<b>29</b>	<b>27</b>	<b>3,380,000</b>
<b>Offsetting Collections</b>	<b>-</b>	<b>-</b>	<b>(3,380,000)</b>
<b>2013 Request</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>277,252</b>

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actuals</b>	329	301	1,735,843
<b>FY 2012 Enacted</b>	339	307	3,102,748
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	373
Decreases	-	-	(373)
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	339	307	3,102,748
<b>Program Changes</b>	-	-	-
Increases	-	-	277,252
<b>Total, Program Changes</b>	-	-	277,252
<b>FY 2013 Request</b>	339	307	3,380,000
<b>FY 2012 to FY 2013 Total Change</b>	-	-	277,252

Estimates by Program/Project/Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Flood Mitigation and Flood Insurance Operations	92	75	22,000	-	-	-	-	-	-	92	75	22,000	-	-	-
Floodplain Management and Flood Mapping	218	205	149,000	-	-	-	-	-	-	218	205	149,000	-	-	-
National Flood Insurance Fund - Mandatory	-	-	3,042,748	-	-	-	-	-	217,252	-	-	3,260,000	-	-	217,252
Flood Related Grants	29	27	60,000	-	-	-	-	-	60,000	29	27	120,000	-	-	60,000
<b>Total</b>	<b>339</b>	<b>307</b>	<b>3,274,000</b>	-	-	-	-	-	<b>277,000</b>	<b>339</b>	<b>307</b>	<b>3,551,000</b>	-	-	<b>277,252</b>

**D. Summary of Reimbursable Resources**

**N/A**

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	29,336	30,380	30,539	159
11.3 Other than full-time permanent	191	191	191	-
11.5 Other personnel compensation	853	423	423	-
12.1 Benefits	8,325	11,647	11,647	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>38,705</b>	<b>42,641</b>	<b>42,800</b>	<b>159</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	2,211	2,711	2,711	-
22.0 Transportation of things	6	15	15	-
23.1 GSA rent	2,871	2,802	3,016	214
23.3 Communications, utilities, and misc. charges	1,185	167	167	-
24.0 Printing	3,908	3,707	3,707	-
25.1 Advisory and assistance services	24,887	19,673	19,673	-
25.2 Other services	606,614	3,531,430	1,734,696	(1,796,734)
25.3 Purchases from Gov't accts.	3,090	-	-	-
25.4 O&M of facilities	8	-	-	-
25.7 Operation and maintenance of equipment	3	-	-	-
26.0 Supplies and materials	118	132	132	-
31.0 Equipment	409	298	298	-
41.0 Grants/Subsidies/Contributions	201,868	122,181	115,424	(6,757)
42.0 Insurance Claims and Indemnity	789,203	1,442,723	1,401,715	(41,008)
91.0 Unvouchered	60,757	226,646	226,646	-
<b>Total, Other Object Classes</b>	<b>1,697,138</b>	<b>5,352,485</b>	<b>3,508,200</b>	<b>(1,844,285)</b>
<b>Total, Direct Obligations</b>	<b>1,735,843</b>	<b>5,395,126</b>	<b>3,551,000</b>	<b>(1,844,126)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(2,171,751)	-	2,171,751
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(2,171,751)</b>	<b>-</b>	<b>2,171,751</b>
<b>Total Requirements</b>	<b>1,735,843</b>	<b>3,223,375</b>	<b>3,551,000</b>	<b>327,625</b>
<b>Full-time Equivalents</b>	<b>301</b>	<b>307</b>	<b>307</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actuals	Enacted	Request	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	2	2	2	-
GS-15	38	38	38	-
GS-14	72	72	72	-
GS-13	90	90	90	-
GS-12	96	96	96	-
GS-11	12	12	12	-
GS-9	6	6	6	-
GS-8	2	4	4	-
GS-7	-	14	14	-
GS-6	-	4	4	-
GS-3	-	1	1	-
<b>Total Permanent Positions</b>	<b>318</b>	<b>339</b>	<b>339</b>	<b>-</b>
Unfilled Positions EOY	41	-	-	-
Total Permanent Employment EOY	248	339	339	-
Headquarters	157	157	157	-
U.S. Field	161	182	182	-
<b>Total, National Flood Insurance Fund</b>	<b>318</b>	<b>339</b>	<b>339</b>	<b>-</b>
<b>Full-time Equivalents</b>	<b>301</b>	<b>307</b>	<b>307</b>	<b>-</b>
Average ES Salary	156,294	156,294	158,170	1,876
Average GS Salary	84,855	84,855	85,873	1,018
Average Grade	12	12	12	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**



## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Flood Mitigation and Flood Insurance Operations  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	8,151	8,794	8,846	52
11.3 Other than full-time permanent	191	191	191	-
11.5 Other personnel compensation	302	207	207	-
12.1 Benefits	2,277	4,758	4,758	-
<b>Total, Personnel and Compensation Benefits</b>	<b>10,921</b>	<b>13,950</b>	<b>14,002</b>	<b>52</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	535	765	765	-
22.0 Transportation of things	6	-	-	-
23.1 GSA rent	1,125	1,099	1,192	93
23.3 Communications, utilities, and misc. charges	412	20	20	-
25.1 Advisory and assistance services	643	-	-	-
25.2 Other services	-	6,058	5,913	(145)
25.4 O&M of facilities	8	-	-	-
25.7 Operation and maintenance of equipment	3	-	-	-
26.0 Supplies and materials	12	32	32	-
31.0 Equipment	179	76	76	-
<b>Total, Other Object Classes</b>	<b>2,923</b>	<b>8,050</b>	<b>7,998</b>	<b>(52)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>13,844</b>	<b>22,000</b>	<b>22,000</b>	<b>-</b>
<b>Full-time Equivalents</b>	<b>77</b>	<b>75</b>	<b>75</b>	<b>-</b>

### Flood Mitigation and Flood Insurance Operations Mission Statement

Resources under this activity support the salaries and expenses of FTE managing the National Flood Insurance Program ( NFIP) and flood mitigation programs. In FY 2013, FEMA will continue to support the NFIP and to provide operational and administrative support for the Community Rating System and will enhance oversight of the program.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	8,151	8,794	8,846	52
11.3 Other than full-time permanent	191	191	191	-
11.5 Other personnel compensation	302	207	207	-
12.1 Benefits	2,277	4,758	4,758	-
<b>Total, Salaries &amp; Benefits</b>	<b>10,921</b>	<b>13,950</b>	<b>14,002</b>	<b>52</b>

Salaries and Benefits support 108 full-time permanent positions in FY 2013. FY 2013 includes a 0.5% increase for COLA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
23.1 GSA rent	\$1,125	\$1,099	\$1,192	\$93

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2013 reflects the inflationary increases in lease costs.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.2 Other services	0	\$6,058	\$5,913	-\$145

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. An overall decrease of \$145,000 is due to efficiencies.

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Floodplain Management and Flood Mapping  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	19,705	19,800	19,897	97
11.5 Other personnel compensation	528	190	190	-
12.1 Benefits	5,603	6,055	6,055	-
<b>Total, Personnel and Compensation Benefits</b>	<b>25,836</b>	<b>26,045</b>	<b>26,142</b>	<b>97</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,275	1,392	1,392	-
23.1 GSA rent	1,498	1,463	1,586	123
23.3 Communications, utilities, and misc. charges	639	147	147	-
24.0 Printing	807	600	600	-
25.1 Advisory and assistance services	24,244	19,673	19,673	-
25.2 Other services	93,784	114,411	88,054	(26,357)
25.3 Purchases from Gov't accts.	3,090	-	-	-
26.0 Supplies and materials	71	58	58	-
31.0 Equipment	141	113	113	-
41.0 Grants/Subsidies/Contributions	10,367	11,235	11,235	-
<b>Total, Other Object Classes</b>	<b>135,916</b>	<b>149,092</b>	<b>122,858</b>	<b>(26,234)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(26,137)	-	26,137
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(26,137)</b>	<b>-</b>	<b>26,137</b>
<b>Total Requirements</b>	<b>161,752</b>	<b>149,000</b>	<b>149,000</b>	<b>-</b>
<b>Full-time Equivalents</b>	<b>195</b>	<b>205</b>	<b>205</b>	<b>-</b>

**Floodplain Management and Flood Mapping Mission Statement**

Through Floodplain Management programs, FEMA encourages communities and their citizens to take informed and effective mitigation actions before a flood in order to reduce the long-term risk to people and property. Through the delivery of mitigation programs, FEMA leads a national effort to: identify and improve the understanding of communities' hazards and their risks; develop and improve techniques and planning processes which mitigate those risks; provide an environment at the State and local levels that is conducive to applying those techniques and processes; provide financial and technical assistance to facilitate application of those techniques and processes; and support development of incentives and disincentives which make application of those techniques and processes a social, political, and/or economic priority.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	19,705	19,800	19,897	97
11.5 Other personnel compensation	528	190	190	-
12.1 Benefits	5,603	6,055	6,055	-
<b>Total, Salaries &amp; Benefits</b>	<b>25,836</b>	<b>26,045</b>	<b>26,142</b>	<b>97</b>

Salaries and Benefits support 217 full-time permanent positions in FY 2013. FY 2013 includes an increase of 0.5% for COLA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,498</b>	<b>\$1,463</b>	<b>\$1,586</b>	<b>\$123</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2013 reflects the inflationary increases in lease costs.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$93,784</b>	<b>\$114,411</b>	<b>\$88,054</b>	<b>-\$26,357</b>

Other services include report contractual services with Non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 reflects the reduction of flood map production and provides funding for technical services and program support for efficiencies and nonrecurring costs.

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
National Flood Insurance Fund - Mandatory  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
24.0 Printing	3,100	3,100	3,100	-
25.2 Other services	498,567	3,369,764	1,628,539	(1,741,225)
42.0 Insurance Claims and Indemnity	789,203	1,442,723	1,401,715	(41,008)
91.0 Unvouchered	60,757	226,646	226,646	-
<b>Total, Other Object Classes</b>	<b>1,351,627</b>	<b>5,042,233</b>	<b>3,260,000</b>	<b>(1,782,233)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(1,999,233)	-	1,999,233
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(1,999,233)</b>	-	<b>1,999,233</b>
<b>Total Requirements</b>	<b>1,351,627</b>	<b>3,043,000</b>	<b>3,260,000</b>	<b>217,000</b>
<b>Full-time Equivalents</b>	-	-	-	-

**National Flood Insurance Fund - Mandatory Mission Statement**

The National Flood Insurance Act of 1968, as amended, authorizes the Federal Government to provide flood insurance on a national basis. Flood insurance may be sold or continued in force only in communities that enact and enforce appropriate floodplain management measures. Communities must participate in the program within 1 year of the time they are identified as flood-prone in order to be eligible for flood insurance and some forms of Federal financial assistance for acquisition or construction purposes. In addition, Federally regulated funding institutions cannot provide loans to nonparticipating communities with an identified flood hazard. More than 20,000 communities in all States and territories participate in the NFIP. Structures built to NFIP criteria experience 80 percent less damage through reduced frequency and severity of losses. The flood mitigation program requirements are estimated to save in excess of \$1 billion per year in flood losses avoided. The NFIP limits the impact of disaster by encouraging property owners and others to manage their risk through flood insurance and other hazard insurance mechanisms.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	\$498,567	\$3,369,764	\$1,628,539	-\$1,741,225

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 includes a decrease of \$1,741,225,000 for nonrecurring costs.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>42.0 Insurance Claims and Indemnity</b>	\$789,203	\$1,442,723	\$1,401,715	-\$41,008

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act.

**Department of Homeland Security  
Federal Emergency Management Agency  
National Flood Insurance Fund  
Flood-Related Grants  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	1,480	1,786	1,796	10
11.5 Other personnel compensation	23	26	26	-
12.1 Benefits	445	834	834	-
<b>Total, Personnel and Compensation Benefits</b>	<b>1,948</b>	<b>2,646</b>	<b>2,656</b>	<b>10</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	401	554	554	-
22.0 Transportation of things	-	15	15	-
23.1 GSA rent	248	240	238	(2)
23.3 Communications, utilities, and misc. charges	134	-	-	-
24.0 Printing	1	7	7	-
25.2 Other services	14,263	41,197	12,190	(29,007)
26.0 Supplies and materials	35	42	42	-
31.0 Equipment	89	109	109	-
41.0 Grants/Subsidies/Contributions	191,501	110,946	104,189	(6,757)
<b>Total, Other Object Classes</b>	<b>206,672</b>	<b>153,110</b>	<b>117,344</b>	<b>(35,766)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(95,756)	-	95,756
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(95,756)</b>	<b>-</b>	<b>95,756</b>
<b>Total Requirements</b>	<b>208,620</b>	<b>60,000</b>	<b>120,000</b>	<b>60,000</b>
<b>Full-time Equivalents</b>	<b>29</b>	<b>27</b>	<b>27</b>	<b>-</b>

**Flood-Related Grants Mission Statement**

A component of the NFIP business strategy is to reduce the risk associated with flood events through floodplain management as well as through flood-related grants and assistance such as Flood Mitigation Assistance (FMA), Repetitive Flood Claims (RFC), and Severe Repetitive Loss (SRL). FEMA provides funding to reduce the risk of flood damage to existing buildings and infrastructure by providing flood related grants to States, communities, and tribal nations. The FMA program provides funds on an annual basis so that measures can be taken to reduce or eliminate risk of flood damage to buildings insured under the NFIP. The RFC program provides funding to reduce or eliminate the long-term risk of flood damage to structures insured under the NFIP that have had one or more flood claim payments. The SRL program provides funds on an annual basis to reduce the risk of flood damage to residential structures insured under the NFIP that are qualified as severe repetitive loss structures.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	1,480	1,786	1,796	10
11.5 Other personnel compensation	23	26	26	-
12.1 Benefits	445	834	834	-
<b>Total, Salaries &amp; Benefits</b>	<b>1,948</b>	<b>2,646</b>	<b>2,656</b>	<b>10</b>

Salaries and Benefits support 29 full time permanent positions. FY 2013 includes an increase of 0.5% for COLA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$248</b>	<b>\$240</b>	<b>\$238</b>	<b>-\$2</b>

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. FY 2013 includes a decrease of \$2,000 for realized savings in rent.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$14,263</b>	<b>\$41,197</b>	<b>\$12,190</b>	<b>-\$29,007</b>

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 includes a decrease of \$29,007,000 for nonrecurring costs and efficiencies.



## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>311</b>	<b>311</b>	<b>307</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>311</b>	<b>311</b>	<b>307</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>--</b>	<b>--</b>	<b>--</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actuals Amount</b>	<b>FY 2012 Enacted Amount</b>	<b>FY 2013 Request Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Flood Mitigation and Flood Insurance Operations	\$448	\$411	\$447	\$36
Floodplain Management and Flood Mapping	596	545	594	49
Flood Related Grants	98	89	97	8
<b>Total Working Capital Fund</b>	<b>1,142</b>	<b>1,045</b>	<b>1,138</b>	<b>93</b>

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

## *Federal Emergency Management Agency Disaster Assistance Direct Loan Program*

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Fiscal Year 2013  
Congressional Justification

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<b>BUDGET REQUEST AND SUPPORTING INFORMATION</b>
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**Federal Emergency Management Agency  
Disaster Assistance Direct Loan Program**

**I. Appropriation Overview**

**A. Mission Statement for Salaries and Expenses:**

The Disaster Assistance Direct Loan Program account provides loan authority and subsidy budget authority for disaster assistance direct loans.

**B. Budget Activities:**

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authorizes two types of direct loans: (1) section 319 (State Share) loans to States for the non-Federal portion of cost-shared Stafford Act programs, and (2) section 417 (Community Disaster) loans to local governments that incurred substantial losses of tax and other revenues as a result of a major disaster and require financial assistance in order to perform governmental functions.

**C. Budget Request Summary:**

FEMA requests direct loan limitation of up to \$25 million.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Disaster Assistance Direct Loan Program**  
 Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Request  
 (Dollars in Thousands)

Program /Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Direct Loan Subsidy	-	-	1,000	-	-	295	-	-	-	-	-	(295)	-	-	(295)	-	-	-
<b>Total, Disaster Assistance Direct Loan Program</b>	-	-	<b>1,000</b>	-	-	<b>295</b>	-	-	-	-	-	<b>(295)</b>	-	-	<b>(295)</b>	-	-	-
Subtotal, Enacted Appropriations and Budget Estimates	-	-	1,000	-	-	295	-	-	-	-	-	(295)	-	-	(295)	-	-	-
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates</b>	-	-	<b>1,000</b>	-	-	<b>295</b>	-	-	-	-	-	<b>(295)</b>	-	-	<b>(295)</b>	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**Disaster Assistance Direct Loan Program**  
**Direct Loan Subsidy**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Direct Loan Subsidy**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	-	-	<b>1,000</b>
<b>2012 Enacted</b>	-	-	<b>295</b>
<b>2013 Current Services</b>	-	-	<b>295</b>
2013 Program Change	-	-	(295)
<b>2013 Total Request</b>	-	-	-
Total Change 2012 to 2013	-	-	(295)

**Loan Limitation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 EOY Actual</b>	-	-	<b>25,000</b>
<b>2012 Base</b>	-	-	<b>25,000</b>
<b>2013 Current Services</b>	-	-	<b>25,000</b>
<b>2013 Request</b>	-	-	<b>25,000</b>
Total Change 2012 - 2013	-	-	-

*Note: The loan limitation amount above does not reflect the loan limitation carryover associated with the supplemental appropriation for section 419 Special Community Disaster Loans.*

FEMA requests \$25 million in loan authority for FY 2013.



## **CURRENT SERVICES PROGRAM DESCRIPTION:**

Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), FEMA has authority to make two types of direct loans:

State Share Loans: Under section 319 of the Stafford Act, FEMA may lend or advance to a State or an eligible applicant the portion of assistance for which the applicant is responsible under cost-sharing provisions of the Stafford Act. To be deemed eligible for a loan, the governor of the affected State must demonstrate, where damage is overwhelming and severe, that the State is unable to assume immediately its financial responsibility to meet the cost-share because (1) the State is responding to concurrent, multiple disasters/emergencies or has incurred extraordinary costs as a result of a particular disaster or emergency; and (2) the damages caused by such disaster or disasters are so overwhelming and severe it is not possible for the State to assume immediately its financial responsibility. \$217 million in State Share loans has been approved, with the last loan issued in 1996. There are no outstanding State Share loans.

Community Disaster Loans (CDL): Under section 417 of the Stafford Act, loans may be authorized to local governments that have suffered a substantial loss of tax and other revenues as a result of a major disaster, and have demonstrated a need for financial assistance in order to perform their municipal operating functions. The loans, not to exceed 25 percent of the annual operating budget of that local government for the fiscal year in which the major disaster occurred, or 50 percent of the annual operating budget for the fiscal year in which the major disaster occurred if the loss of tax and other revenues is at least 75 percent of the annual operating budget for the fiscal year in which the major disaster occurs, are made at the current Department of Treasury rate for a term of five years and may not exceed \$5 million. All or part of such loans may be cancelled to the extent that revenues of the local government during the full three post-disaster fiscal years are insufficient to meet its operating budget as the result of the disaster. A local government is not eligible for further CDLs during any period in which the jurisdiction is in arrears with respect to required repayment of an existing loan. \$300 million in traditional CDLs has been approved, with the last loan issued in 2009. No CDLs were issued in FY 2011.

Special Community Disaster Loans (SCDL): The Community Disaster Loan Act of 2005 (P.L. 109-88) authorized FEMA to transfer \$750 million from the Disaster Relief Fund to provide up to \$1 billion in loan authority to assist communities impacted by Hurricanes Katrina and Rita. For these SCDLs, three elements were added to the traditional program under Section 417: (1) it removed the \$5 million limit on individual loans, (2) the loans were restricted “to assist local governments in providing essential services,” and 3) the loan cancellation provision of section 417(c)(1) of the Stafford Act was inapplicable.

The Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, 2006 (P.L. 109-234) appropriated an additional \$279,800,000 to support \$371,733,000 in SCDLs. However, certain eligibility criteria were different from those in the 2005 Act: (1) the maximum loan amount was increased to 50 percent of the applicant’s operating budget the fiscal year of the disaster, (2) the loan analysis could only consider “tax revenue” loss and not “other

revenues” as allowed for in the 2005 Act, and (3) applicants were required to demonstrate actual loss in tax revenues of 25 percent or greater. The loan cancellation provision continued to be inapplicable.

The U.S. Troop Readiness, Veterans’ Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007 (P.L. 110-28) removed the loan cancellation prohibitions contained in the 2005 and 2006 Acts. This statutory change now gives FEMA discretionary authority, limited by the language in section 417(c)(1) of the Stafford Act, to cancel SCDLs issued pursuant to either the 2005 or 2006 Acts.

From October 2005 to September 2006, FEMA approved 152 SCDLs totaling \$1,270,501,241 to 109 eligible applicants in Mississippi and Louisiana.

In accordance with the Federal Credit Reform Act of 1990, three accounts are used to record cash flow data for direct loans:

- Disaster Assistance Direct Loan Program Account. This is the budget account into which an appropriation is made to cover the subsidy costs of a direct loan, and from which such costs are disbursed into the financing account.
- Disaster Assistance Loan Liquidating Account. This budget account records all cash flows to and from FEMA for pre-1992 direct loans made under the State Share and CDL programs. There is no longer any activity in this account.

Disaster Assistance Direct Loan Financing Account. The loan financing account is a nonbudgetary account that records all cash flows to and from FEMA resulting from CDL and State Share direct loans obligated in 1992 and beyond. This account holds balances, receives the subsidy cost payment from the program account, and includes all other cash flows resulting from post-1991 direct loans. The funds in this account are a means of financing and are not included in the budget totals. Loans are obligated from this account, using the subsidy budget authority from the Disaster Assistance Direct Loan Program Account and borrowing authority from the Department of the Treasury.

## IV. Program Justification Changes

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Assistance Direct Loan Program  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Elimination of the State Share Subsidy  
PPA: Direct Loan Subsidy  
Program Decrease: Positions 0, FTE 0, Dollars \$(295)

Funding Profile

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	295
Program Increase							-	-	(295)
<b>Total Request</b>	-	-	<b>294</b>	-	-	<b>295</b>	-	-	-

**Description of Item**

FEMA requests direct loan limitation of up to \$25 million.

**Justification**

Under 44 CFR 206.45, at the request of the Governor, FEMA is authorized to “lend or advance to a State, either for its own use or for the use of public or private nonprofit applicants for disaster assistance under the Stafford Act, the portion of assistance for which the State or other disaster assistance applicant is responsible under the cost-sharing provisions of the Stafford Act.”

**Impact on Performance (Relationship of Increase to Strategic Goals)**

There will be no impact on performance as FEMA has not provided a loan from this program since 1996.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*Subject to section 502 of the Congressional Budget Act of 1974, gross obligations for the principal amount of direct loans shall not exceed \$25,000,000.*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Assistance Direct Loan Program  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actuals	-	-	1,000
FY 2012 Enacted	-	-	295
Adjustments-to-Base	-	-	-
Transfers	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
<b>FY 2013 Current Services</b>	-	-	295
<b>Program Changes</b>	-	-	-
<b>Decreases</b>	-	-	-
Elimination of the State Share Subsidy	-	-	(295)
<b>Total, Decreases</b>	-	-	(295)
<b>Total, Program Changes</b>	-	-	(295)
<b>FY 2013 Request</b>	-	-	-
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(295)

## C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Assistance Direct Loan Program  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actuals	-	-	1,000
FY 2012 Enacted	-	-	295
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	295
Program Changes	-	-	-
Decreases	-	-	(295)
Total, Program Changes	-	-	(295)
FY 2013 Request	-	-	-
FY 2012 to FY 2013 Total Change	-	-	(295)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Direct Loan Subsidy	-	-	295	-	-	-	-	-	(295)	-	-	-	-	-	(295)
<b>Total</b>	-	-	<b>295</b>	-	-	-	-	-	<b>(295)</b>	-	-	-	-	-	<b>(295)</b>

**D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Assistance Direct Loan Program  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
41.0 Grants/Subsidies/Contributions	1,000	295	-	(295)
<b>Total, Other Object Classes</b>	<b>1,000</b>	<b>295</b>	-	<b>(295)</b>
<b>Total, Direct Obligations</b>	<b>1,000</b>	<b>295</b>	-	<b>(295)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,000</b>	<b>295</b>	-	<b>(295)</b>
<b>Full-time Equivalents</b>	-	-	-	-



**F. Permanent Positions by Grade**  
**N/A**

**G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
Disaster Assistance Direct Loan Program  
Direct Loan Subsidy  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
41.0 Grants/Subsidies/Contributions	1,000	295	-	(295)
<b>Total, Other Object Classes</b>	<b>1,000</b>	<b>295</b>	<b>-</b>	<b>(295)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,000</b>	<b>295</b>	<b>-</b>	<b>(295)</b>
<b>Full-time Equivalents</b>	-	-	-	-

### Direct Loan Subsidy Mission Statement

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authorizes two types of direct loans: 1) Section 319 (State Share) loans to States for the non-Federal portion of cost-shared Stafford Act Programs, and 2) Section 417 (Community Disaster) loans to local governments that incurred substantial losses of tax and other revenues as a result of a major disaster and require financial assistance in order to perform governmental functions.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>\$1,000</b>	<b>\$295</b>	<b>0</b>	<b>-\$295</b>

Loans provide loan subsidies for two types of direct loans: 1) Section 319 (State Share) loans and 2) Section 417 (Community Disaster) loans.

## **I. Changes in Full-time Employment**

**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity**  
**N/A**

**K. DHS Balanced Workforce Strategy**

**N/A**

**Department of  
Homeland Security**  
*Federal Emergency Management Agency  
U.S. Fire Administration*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Emergency Management Agency U.S. Fire Administration**

### **I. Appropriation Overview**

#### **A. Mission Statement for U.S. Fire Administration:**

The mission of the United States Fire Administration (USFA) is to provide National leadership to foster a solid foundation for our fire and emergency services stakeholders in prevention, preparedness, and response.

#### **B. Budget Activities:**

The USFA coordinates with other Federal, State, and local emergency service agencies; the private sector; colleges and universities; and other DHS educational consortium participants in fostering a solid foundation for our citizens and stakeholders in prevention, preparedness, and response. In fulfilling its mission, USFA utilizes the assets of the National Fire Academy (NFA); the National Emergency Training Center (NETC); Management, Operations, and Support Services (MOSS); and the National Fire Programs (NFP) Division.

#### **C. Budget Request Summary:**

FEMA requests \$42.520 million, 170 positions, and 159 FTE for FY 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project/Activity (PPA)

### Department of Homeland Security Federal Emergency Management Agency U.S. Fire Administration

Summary of FY 2013 Budget Estimates by Program/Project/Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program/Project/Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013									
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base			
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	
United States Fire Administration	118	108	45,083	170	148	44,038	170	159	42,520	-	11	(1,518)	-	-	-	-	-	11	(1,518)
<b>Total, U.S. Fire Administration</b>	<b>118</b>	<b>108</b>	<b>45,083</b>	<b>170</b>	<b>148</b>	<b>44,038</b>	<b>170</b>	<b>159</b>	<b>42,520</b>	<b>-</b>	<b>11</b>	<b>(1,518)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>11</b>	<b>(1,518)</b>
Subtotal, Enacted Appropriations and Budget Estimates	118	108	45,083	170	148	44,038	170	159	42,520	-	11	(1,518)	-	-	-	-	-	11	(1,518)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates</b>	<b>118</b>	<b>108</b>	<b>45,083</b>	<b>170</b>	<b>148</b>	<b>44,038</b>	<b>170</b>	<b>159</b>	<b>42,520</b>	<b>-</b>	<b>11</b>	<b>(1,518)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>11</b>	<b>(1,518)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Federal Emergency Management Agency**  
**U.S. Fire Administration**  
**United States Fire Administration**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: United States Fire Administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>118</b>	<b>108</b>	<b>45,083</b>
<b>2012 Enacted Budget Authority</b>	<b>170</b>	<b>148</b>	<b>44,038</b>
2013 Adjustments-to-Base	-	11	(1,518)
<b>2013 Current Services</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
<b>2013 Total Requested Budget Authority</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
Total Change 2012 to 2013	-	11	(1,518)

FEMA requests \$42.520 million, 170 positions, and 159 FTE for FY 2013.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

- Increase \$738,000 for contractor to PFT conversions
- Increase \$60,000 for pay annualization
- Decrease \$119,000 by eliminating repair and upkeep services for wireless capabilities in student dormitories
- Decrease \$534,000 by reducing facility operations and support services contract
- Decrease \$30,000 of staff travel
- Decrease \$192,000 by reducing National Fire Incident Report System’s (NFIRS) technical support contract
- Decrease \$410,000 by reducing prevention activities, discontinue Safe Kids and Volunteer Fire & Rescue Initiatives
- Decrease \$125,000 by reducing wildfire initiatives, discontinue Wildland/Urban Interface-Fire Adapted Communities and reduce support to National Wildfire Coordinating Group
- Decrease \$50,000 by discontinuing support to Home Fire Sprinkler Coalition
- Decrease \$300,000 by eliminating 18 NFA course deliveries
- Decrease \$275,000 by reducing TRADE and State Fire Training Grant Programs and eliminate Harvard Program
- Decrease \$281,000 by reducing NFA course development efforts

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**US Fire Administration FY 2013 Funding Summary**

(\$ in 000s)

<u>Activity</u>	<u>Pos.</u>	<u>FTE</u>	<u>S&amp;B</u>	<u>Program</u>	<u>Total</u>
NETC Management, Operations and Support	86	75	5,828	12,190	18,018
National Fire Programs	40	40	4,869	6,306	11,175
<i>Of which NFIRS</i>	3	3	304	2,470	2,774
National Fire Academy	44	44	5,199	8,128	13,327
<b>Subtotal</b>	<b>170</b>	<b>159</b>	<b>15,896</b>	<b>26,624</b>	<b>42,520</b>

USFA prepares the Nation’s first responders through ongoing and when necessary, expedited training, regarding how to evaluate and minimize community risk, improve protection to critical infrastructure, and be better prepared to react to all-hazard and terrorism emergencies. The USFA coordinates with other Federal, State, and local emergency service agencies; the private sector; colleges and universities; and other DHS educational consortium participants in fostering a solid foundation for our citizens and stakeholders in prevention, preparedness, and response. In fulfilling its mission, USFA utilizes the assets of the NFA, NETC Facilities and Support Services, and the National Fire Programs Division.

**National Fire Academy**

The NFA promotes the professional development of the fire and the emergency response community and its allied professionals. NFA supports State and local training organizations to fulfill their obligation to the career and volunteer fire and emergency services. NFA also develops, delivers, and manages educational and training programs having a national focus that are outside State and local training missions or that exceed State and local capabilities because of cost or audience. The programs are designed to support the DHS and FEMA goals to help State and local response agencies prevent, mitigate, prepare for, and respond to local, regional, and national emergencies.

**NETC Management, Operations, and Support Services Division**

The MOSS Division manages, operates, and maintains the NETC facilities and training resources in the most efficient and effective manner. MOSS provides administrative, operational, and emergency services in support of the program activities and special groups at NETC.

**National Fire Programs Division (NFP)**

The NFP Division manages USFA public education and information efforts. NFP operates the National Fire Data Center for the collection, analysis, publication, dissemination, and marketing of information related to the Nation’s fire problem and USFA programs. NFP also manages USFA research efforts in fire detection, prevention, and suppression; first responder health, safety and effectiveness; and special programs that enhance USFA and partner roles in all-hazard preparedness and response.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

**Department of Homeland Security  
Federal Emergency Management Agency  
Justification of Proposed Changes in U.S. Fire Administration  
Appropriation Language**

*For necessary expenses of the United States Fire Administration and for other purposes, as authorized by the Federal Fire Prevention and Control Act of 1974 (15 U.S.C. 2201 et seq.) and the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.), [\$44,038,000]42,520,000.(Department of Homeland Security Appropriations Act, 2012.)*

#### **Explanation of Changes:**

No substantive changes are proposed.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Fire Administration  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>118</b>	<b>108</b>	<b>45,083</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>170</b>	<b>148</b>	<b>44,038</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Annual Pay Inflation	-	-	60
Contractor to PFT Conversion	-	11	738
<b>Total, Increases</b>	<b>-</b>	<b>11</b>	<b>798</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Termination of one-time costs	-	-	(2,316)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(2,316)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>11</b>	<b>(1,518)</b>
<b>FY 2013 Current Services</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2013 Requested Budget Authority</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>-</b>	<b>11</b>	<b>(1,518)</b>

### C. Summary of Requirements

**Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Fire Administration  
Summary of Requirements  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>118</b>	<b>108</b>	<b>45,083</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>170</b>	<b>148</b>	<b>44,038</b>
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	11	798
Decreases	-	-	(2,316)
<b>Total, Adjustments-to-Base</b>	-	<b>11</b>	<b>(1,518)</b>
<b>FY 2013 Current Services</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	<b>170</b>	<b>159</b>	<b>42,520</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	<b>11</b>	<b>(1,518)</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
United States Fire Administration	170	148	44,038	-	11	(1,518)	-	-	-	170	159	42,520	-	11	(1,518)
<b>Total</b>	<b>170</b>	<b>148</b>	<b>44,038</b>	-	<b>11</b>	<b>(1,518)</b>	-	-	-	<b>170</b>	<b>159</b>	<b>42,520</b>	-	<b>11</b>	<b>(1,518)</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Fire Administration  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Consumer Product Safety Commission	-	-	-	-	-	200	-	-	200	-	-	-
Department of Agriculture	-	-	-	-	-	1	-	-	1	-	-	-
Department of Homeland Security - OHA	-	-	50	-	-	200	-	-	200	-	-	-
Department of Interior - BLM	-	-	100	-	-	82	-	-	82	-	-	-
Department of Justice	-	-	97	-	-	115	-	-	115	-	-	-
Department of Transportation Federal Highway Administration	-	-	-	-	-	50	-	-	50	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>247</b>	-	-	<b>648</b>	-	-	<b>648</b>	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project/Activity:</b>												
United States Fire Administration	-	-	247	-	-	648	-	-	648	-	-	-
<b>Total Obligations</b>	-	-	<b>247</b>	-	-	<b>648</b>	-	-	<b>648</b>	-	-	-

## E. Summary of Requirements by Object Class

**Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Fire Administration**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	10,124	11,762	12,309	547
11.3 Other than full-time permanent	51	201	280	79
11.5 Other personnel compensation	102	120	127	7
12.1 Benefits	2,707	3,038	3,203	165
<b>Total, Personnel and Other Compensation Benefits</b>	<b>12,984</b>	<b>15,121</b>	<b>15,919</b>	<b>798</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	256	505	475	(30)
22.0 Transportation of things	51	78	78	-
23.2 Other rent	9	30	30	-
23.3 Communications, utilities, and misc. charges	2,680	2,980	2,980	-
24.0 Printing	306	374	374	-
25.1 Advisory and assistance services	5,534	6,864	5,897	(967)
25.2 Other services	6,562	1,470	1,189	(281)
25.3 Purchases from Gov't accts.	778	137	137	-
25.4 O&M of facilities	7,269	5,483	4,949	(534)
25.7 Operation and maintenance of equipment	2,661	6,652	6,533	(119)
26.0 Supplies and materials	469	915	915	-
31.0 Equipment	1,188	347	347	-
32.0 Land & structures	1,060	-	-	-
41.0 Grants/Subsidies/Contributions	3,276	3,082	2,697	(385)
<b>Total, Other Object Classes</b>	<b>32,099</b>	<b>28,917</b>	<b>26,601</b>	<b>(2,316)</b>
<b>Total, Direct Obligations</b>	<b>45,083</b>	<b>44,038</b>	<b>42,520</b>	<b>(1,518)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>45,083</b>	<b>44,038</b>	<b>42,520</b>	<b>(1,518)</b>
<b>Full-time Equivalents</b>	<b>108</b>	<b>148</b>	<b>159</b>	<b>11</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Fire Administration  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	2	2	2	-
Total, EX	1	1	1	-
GS-15	6	6	6	-
GS-14	10	13	13	-
GS-13	44	46	46	-
GS-12	16	14	14	-
GS-11	12	13	13	-
GS-9	7	10	10	-
GS-8	5	5	5	-
GS-7	14	19	19	-
GS-6	1	-	-	-
GS-5	-	18	18	-
GS-4	-	11	11	-
GS-3	-	1	1	-
GS-2	-	1	1	-
Other Graded Positions	-	10	10	-
<b>Total Permanent Positions</b>	<b>118</b>	<b>170</b>	<b>170</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	118	170	170	-
Headquarters	118	170	170	-
<b>Total, U.S. Fire Administration</b>	<b>118</b>	<b>170</b>	<b>170</b>	<b>-</b>
<b>Full-time Equivalents</b>	<b>108</b>	<b>148</b>	<b>159</b>	<b>11</b>
Average ES Salary	155,388	151,610	151,610	-
Average GS Salary	94,021	67,707	70,982	3,275
Average Grade	12	11	12	-

**G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Emergency Management Agency  
U.S. Fire Administration  
United States Fire Administration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	10,124	11,762	12,309	547
11.3 Other than full-time permanent	51	201	280	79
11.5 Other personnel compensation	102	120	127	7
12.1 Benefits	2,707	3,038	3,203	165
<b>Total, Personnel and Compensation Benefits</b>	<b>12,984</b>	<b>15,121</b>	<b>15,919</b>	<b>798</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	256	505	475	(30)
22.0 Transportation of things	51	78	78	-
23.2 Other rent	9	30	30	-
23.3 Communications, utilities, and misc. charges	2,680	2,980	2,980	-
24.0 Printing	306	374	374	-
25.1 Advisory and assistance services	5,534	6,864	5,897	(967)
25.2 Other services	6,562	1,470	1,189	(281)
25.3 Purchases from Gov't accts.	778	137	137	-
25.4 O&M of facilities	7,269	5,483	4,949	(534)
25.7 Operation and maintenance of equipment	2,661	6,652	6,533	(119)
26.0 Supplies and materials	469	915	915	-
31.0 Equipment	1,188	347	347	-
32.0 Land & structures	1,060	-	-	-
41.0 Grants/Subsidies/Contributions	3,276	3,082	2,697	(385)
<b>Total, Other Object Classes</b>	<b>32,099</b>	<b>28,917</b>	<b>26,601</b>	<b>(2,316)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>45,083</b>	<b>44,038</b>	<b>42,520</b>	<b>(1,518)</b>
<b>Full-time Equivalents</b>	<b>108</b>	<b>148</b>	<b>159</b>	<b>11</b>

### United States Fire Administration Mission Statement

The mission of the United States Fire Administration (USFA) is to provide National leadership to foster a solid foundation for our fire and emergency services stakeholders in prevention, preparedness and response. USFA coordinates with other Federal, State, and local emergency service agencies, the private sector, colleges and universities, and other DHS educational consortium participants. In fulfilling its mission, USFA utilizes the assets of the National Fire Academy, the National Emergency Training Center, Management, Operations and Support Services, and the National Fire Programs Division.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	10,124	11,762	12,309	547
11.3 Other than full-time permanent	51	201	280	79
11.5 Other personnel compensation	102	120	127	7
12.1 Benefits	2,707	3,038	3,203	165
<b>Total, Salaries &amp; Benefits</b>	<b>12,984</b>	<b>15,121</b>	<b>15,919</b>	<b>798</b>

Salaries and Benefits include costs for 133 FTEs. FY 2013 increase of \$60 thousand reflects a payraise of .5% and the balance of funding for the 3 remaining contractor-converted FTE.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$256	\$505	\$475	-\$30

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The decrease is achieved by a reduction in staff program travel.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$5,534	\$6,864	\$5,897	-\$967

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The decrease supports the redistribution of funds to Salaries & Benefits for contract conversion to Federal employees and to offset the reduction in funding. The decrease is achieved through discontinuing several activities in the areas of course delivery, prevention, and data analysis.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$6,562	\$1,470	\$1,189	-\$281

Other services include report contract services with non-Federal sources that are not otherwise classified under Object Class 25. The decrease reflects a reduction in course development efforts.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$7,269	\$5,483	\$4,949	-\$534

Operation and maintenance of facilities includes all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The decrease supports the redistribution of funds to Salaries and Benefits for contract conversion to Federal employees and reductions for one-time costs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	<b>\$2,661</b>	<b>\$6,652</b>	<b>\$6,533</b>	<b>-\$119</b>

Operation & maintenance of equipment

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>\$3,276</b>	<b>\$3,082</b>	<b>\$2,697</b>	<b>-\$385</b>

Grants/Subsidies/Contributions

## I. Changes in Full-time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>110</b>	<b>108</b>	<b>148</b>
<b>Increases</b>			
Filling of routine vacancies due to departures, retirements, ect.	(2)	10	-
Filling of Contractor to PFT Conversion Positions	-	30	11
<b>Subtotal, Increases</b>	<b>(2)</b>	<b>40</b>	<b>11</b>
<b>Decreases</b>			
Filling of routine vacancies due to departures, retirements, ect.	(2)	10	-
<b>Subtotal, Decreases</b>	<b>(2)</b>	<b>10</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>106</b>	<b>158</b>	<b>159</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>(4)</b>	<b>50</b>	<b>11</b>



## J. FY 2013 Schedule of Working Capital Fund by Program/Project/Activity

FY 2013 Schedule of Working Capital Fund by Program/Project/Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
United States Fire Administration	\$475	\$518	\$482	-\$36
<b>Total Working Capital Fund</b>	<b>475</b>	<b>518</b>	<b>482</b>	<b>-36</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high-performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience, and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment, the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow-on		FY 2013 Increase		TOTAL FY 2011 – FY 2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Fire Program Specialist	-	-	-	-	-	-	1	.5	-	.5	1	1
Program Assistant	1	.1	-	-	-	.9	-	-	-	-	1	1
Statistician	1	.1	-	-	-	.9	-	-	-	-	1	1
Housing Management Spec.	-	-	-	-	-	-	1	.7	-	.3	1	1
Housing Clerk	-	-	-	-	-	-	13	5.7	-	2.3	13	8
Motor Vehicle Operator	-	-	-	-	-	-	10	3.2	-	1.3	10	4.5
Facility Operations Spec.	-	-	-	-	-	-	1	.7	-	.3	1	1
Messenger (Motor Vehicle Operator)	-	-	-	-	-	-	1	.7	-	.3	1	1
Duplicating Equip. Operator	-	-	-	-	-	-	1	.7	-	.3	1	1
Warehouseman	-	-	-	-	-	-	3	2.1	-	.9	3	3
Supply Technician	-	-	-	-	-	-	1	.7	-	.3	1	1
Property Clerk - Logistics	-	-	-	-	-	-	2	1.4	-	.6	2	2
Mail Clerk	-	-	-	-	-	-	2	1.4	-	.6	2	2
Key/ID/Fingerprint Clerk	-	-	-	-	-	-	1	.7	-	.3	1	1
Admissions Assistant	-	-	-	-	-	-	7	5.6	-	1.4	7	7
Office Automation Clerk	-	-	-	-	-	-	6	4.4	-	1.1	6	5.5
<b>Total</b>	<b>2</b>	<b>.2</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1.8</b>	<b>50</b>	<b>28.5</b>	<b>-</b>	<b>10.5</b>	<b>52</b>	<b>41</b>

### **FY 2013 DHS Balanced Workforce Strategy**

- The U.S. Fire Administration requests \$1,939,605 and 41 FTE for the FY 2013 DHS Balanced Workforce Strategy. This amount represents the annual cost to fund the FTE converted during FY 2011 – FY 2012. Of the total FY 2013 requirement, \$1,201,605 funds the 30 FTE annual cost requirement for the positions already filled during FY 2011 – 2012. In FY 2013, an additional \$738,000 will transfer from program resources to payroll to support the additional 11 FTE to be acquired during FY 2013 to complete the DHS Balanced Workforce Strategy.
- Additional analyses will be conducted for contract conversion consideration in FY 2013.

### **Annualization of FY 2012 Base DHS Balanced Workforce Strategy**

- In FY 2012, \$146,352 was redistributed from contract to salaries and benefits for the annualization of two FTE.

### **DHS Balanced Workforce Strategy Follow-On**

- The National Fire Academy (NFA) converted one contract in the amount of \$305,144 and two positions to Federal employees.
  - Implementation Timeline – The contract was converted August 1, 2011. There was no overlap of contractor to Federal employees.
  - All functions are performed by the converted positions.
- The NETC Management, Operations, and Support Services Division (MOSS) converted three phases of one contract in the amount of \$2,500,000 and 49 positions to Federal employees. The amount of funding required in FY 2012 is \$1,008,043 and \$1,668,625 in FY 2013.
  - Implementation Timeline – Phase I of the conversion was completed December 18, 2011. Phases II and III are expected to be completed in the spring of 2012. There was no overlap of contractor to Federal employees.
  - All functions are performed by the converted positions.
- The National Fire Programs Division (NFP) will convert one contract in the amount of \$199,775 and one position to a Federal employee. The amount of funding required in FY 2012 is \$47,210 and \$114,877 in FY 2013.

- Implementation Timeline – The conversion is scheduled for May 2012. No overlap of contractor to Federal employees is expected.
- All functions will be performed by the converted positions.

# **Department of Homeland Security**

*U.S. Citizenship & Immigration Services*

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Fiscal Year 2013  
One-Time Exhibits

**i. Summary of FY Budget Estimates by Appropriation without Emergency Funding**

**Department of Homeland Security  
Citizenship & Immigration Services**  
Summary of FY 2013 Budget Estimates by Appropriation

Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Salaries and Expenses:	646	529	242,064	390	382	102,424	613	598	142,974	223	216	40,550	31	16	8,598	192	200	31,952
Immigration Examinations Fee Account:	10,817	9,479	2,479,518	11,693	9,933	2,923,845	11,501	9,917	2,814,859	(192)	(16)	(108,986)	-	-	-	(192)	(16)	(108,986)
H-1B Nonimmigrant Petitioner Account	-	-	11,000	-	-	13,000	-	-	12,550	-	-	(450)	-	-	-	-	-	(450)
Fraud Prevention and Detection Account	185	179	34,639	185	185	39,196	185	185	35,000	-	-	(4,196)	-	-	-	-	-	(4,196)
<b>Subtotal, Mandatory</b>	<b>11,002</b>	<b>9,658</b>	<b>2,525,156</b>	<b>11,878</b>	<b>10,118</b>	<b>2,976,041</b>	<b>11,686</b>	<b>10,102</b>	<b>2,862,409</b>	<b>(192)</b>	<b>(16)</b>	<b>(113,632)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(192)</b>	<b>(16)</b>	<b>(113,632)</b>
<b>Subtotal, Discretionary</b>	<b>646</b>	<b>529</b>	<b>240,257</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>613</b>	<b>598</b>	<b>142,973</b>	<b>223</b>	<b>216</b>	<b>40,549</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>192</b>	<b>200</b>	<b>31,951</b>
<b>Total, Citizenship &amp; Immigration Services</b>	<b>11,648</b>	<b>10,187</b>	<b>2,767,220</b>	<b>12,268</b>	<b>10,500</b>	<b>3,078,465</b>	<b>12,299</b>	<b>10,700</b>	<b>3,005,383</b>	<b>31</b>	<b>200</b>	<b>(73,082)</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>-</b>	<b>184</b>	<b>(81,680)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>11,648</b>	<b>10,187</b>	<b>2,767,220</b>	<b>12,268</b>	<b>10,500</b>	<b>3,078,465</b>	<b>12,299</b>	<b>10,700</b>	<b>3,005,383</b>	<b>31</b>	<b>200</b>	<b>(73,082)</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>-</b>	<b>184</b>	<b>(81,680)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>11,648</b>	<b>10,187</b>	<b>2,767,220</b>	<b>12,268</b>	<b>10,500</b>	<b>3,078,465</b>	<b>12,299</b>	<b>10,700</b>	<b>3,005,383</b>	<b>31</b>	<b>200</b>	<b>(73,082)</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>-</b>	<b>184</b>	<b>(81,680)</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security**  
**Citizenship & Immigration Services**  
 Homeland and Non-Homeland Allocation by Program/Projects Activity  
 (Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Salaries and Expenses:</b>	-	-	529	\$242,064	529	\$242,064	-	-	382	\$102,424	382	\$102,424	-	-	598	\$142,973	598	\$142,973
HAITI	-	-	-	1,807	-	1,807	-	-	-	-	-	-	-	-	-	-	-	-
SAVE	-	-	-	-	-	-	-	-	-	-	-	-	-	-	186	20,048	186	20,048
E-Verify	-	-	257	130,342	257	130,342	-	-	380	102,424	380	102,424	-	-	404	111,924	404	111,924
Real ID Act Implementation	-	-	2	35,620	2	35,620	-	-	2	-	2	-	-	-	2	-	2	-
Asylum and Refugee Services/Military Naturalization	-	-	264	54,905	264	54,905	-	-	-	-	-	-	-	-	-	-	-	-
Immigrant Integration & Citizenship	-	-	6	10,991	6	10,991	-	-	-	-	-	-	-	-	6	11,002	6	11,002
Data Center Development	-	-	-	8,400	-	8,400	-	-	-	-	-	-	-	-	-	-	-	-
<b>Immigration Examinations Fee Account:</b>	-	-	9,479	2,479,518	9,479	2,479,518	-	-	9,933	2,923,845	9,933	2,923,845	-	-	9,917	2,814,859	9,917	2,814,859
Adjudication Services	-	-	8,230	2,041,363	8,230	2,041,363	-	-	8,611	2,423,351	8,611	2,423,351	-	-	8,773	2,343,514	8,773	2,343,514
District Operations	-	-	5,347	1,108,417	5,347	1,108,417	-	-	5,418	1,290,546	5,418	1,290,546	-	-	5,484	1,283,771	5,484	1,283,771
Service Center Operations	-	-	2,174	471,888	2,174	471,888	-	-	2,223	506,300	2,223	506,300	-	-	2,228	507,479	2,228	507,479
Asylum, Refugee and International Operations	-	-	444	134,899	444	134,899	-	-	667	195,819	667	195,819	-	-	742	196,274	742	196,274
Records Operations	-	-	265	87,160	265	87,160	-	-	303	86,631	303	86,631	-	-	319	86,774	319	86,774
Business Transformation	-	-	-	238,998	-	238,998	-	-	-	344,055	-	344,055	-	-	-	269,216	-	269,216
Information and Customer Services	-	-	228	68,299	228	68,299	-	-	234	88,891	234	88,891	-	-	234	89,011	234	89,011
Operating Expenses	-	-	228	68,299	228	68,299	-	-	234	88,891	234	88,891	-	-	234	89,011	234	89,011
Administration	-	-	866	353,134	866	353,134	-	-	910	381,666	910	381,666	-	-	910	382,334	910	382,334
Operating Expenses	-	-	866	353,134	866	353,134	-	-	910	381,666	910	381,666	-	-	910	382,334	910	382,334
SAVE	-	-	155	16,722	155	16,722	-	-	178	29,937	178	29,937	-	-	-	-	-	-
<b>H-1B Nonimmigrant Petitioner Account</b>	-	-	-	11,000	-	11,000	-	-	-	13,000	-	13,000	-	-	-	12,550	-	12,550
Adjudication Services	-	-	-	11,000	-	11,000	-	-	-	13,000	-	13,000	-	-	-	12,550	-	12,550
Service Center Operations	-	-	-	11,000	-	11,000	-	-	-	13,000	-	13,000	-	-	-	12,550	-	12,550
<b>Fraud Prevention and Detection Account</b>	-	-	179	34,639	179	34,639	-	-	185	39,196	185	39,196	-	-	185	35,000	185	35,000
Adjudication Services	-	-	179	34,639	179	34,639	-	-	185	39,196	185	39,196	-	-	185	35,000	185	35,000
<b>Total</b>	-	-	<b>10,187</b>	<b>2,767,220</b>	<b>10,187</b>	<b>2,767,220</b>	-	-	<b>10,500</b>	<b>3,078,465</b>	<b>10,500</b>	<b>3,078,465</b>	-	-	<b>10,700</b>	<b>3,005,383</b>	<b>10,700</b>	<b>3,005,383</b>



**iii. Status of Congressionally Requested Studies, Reports, and Evaluation**

**Department of Homeland Security  
U.S. Citizenship & Immigration Services**

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Request
	Fiscal Year	Amount	Amount	Amount
<b>Salaries and Expenses</b>		<b>631,745</b>	<b>707,392</b>	<b>142,974</b>
INS Citizenship Services	2002	631,745	707,392	142,974
<b>Total Direct Authorization/Appropriation</b>		<b>\$631,745</b>	<b>\$707,392</b>	<b>\$142,974</b>
<b>Fee Accounts</b>		---	---	<b>2,867,182</b>
Immigration Examinations Fee		---	---	2,814,859
H-1B Nonimmigrant Petitioner		---	---	13,000
Fraud Prevention and Detection		---	---	39,323

# Department of Homeland Security

*U.S. Citizenship & Immigration Services  
Salaries and Expenses*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **U.S. Citizenship & Immigration Services Salaries and Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and Expenses:**

##### **Mission Statement**

The U.S. Citizenship and Immigration Services (USCIS) will secure America's promise as a nation of immigrants by granting immigration and citizenship benefits, providing accurate and useful information to our customers, promoting an awareness and understanding of citizenship, and ensuring the integrity of the immigration system.

USCIS has established six goals: (1) strengthen the security and integrity of the immigration system, (2) provide effective customer-oriented immigration benefits and information, (3) support immigrants' integration and participation in American civic culture, (4) promote flexible and sound immigration policies and programs, (5) strengthen the infrastructure supporting the USCIS mission, and (6) operate as a high-performance organization that promotes a highly talented workforce and a dynamic work culture.

USCIS is the component of the Department of Homeland Security (DHS) that facilitates legal immigration for people seeking to enter, reside, or work in the United States. USCIS possesses the authority to grant or deny immigration benefits -- approving close to 6 million immigration benefits each year. These immigration benefits range from work authorization documents to asylum and refugee applications, to petitions for immediate relatives to immigrate to the United States.

The Salaries and Expenses account encompasses all of the discretionary funding of USCIS. The most significant program that has been fully funded through this account is E-Verify. E-Verify is an automated system that allows U.S. employers to electronically verify names, dates of birth, and social security numbers, along with immigration information for non-citizens, against Federal databases to ensure the employment eligibility of both citizen and non-citizen new hires.

Starting in Fiscal Year (FY) 2010, funding was enacted to cover a portion of the cost of refugee and asylum operations, an allocated share of the International Operations Division, and the cost of processing Adjustment of Status (I-485) applications for refugees, which are exempt from fees by law. The purpose of the appropriation was to eliminate certain fee surcharges on applications for activities unrelated to the cost of providing services on those applications. These activities were previously funded within the Immigration Examinations Fee Account (IEFA). In FY 2011, USCIS received a \$24.95 million appropriation for this purpose. In addition, Congress approved a \$25 million reprogramming from the FY 2010 appropriation lapsed balance to support this

effort in FY 2011. For FY 2012 and FY 2013, all of the funding for these services is reflected in the IEFA.

**B. Budget Activities:**

The Salaries and Expenses appropriation currently funds activities related to the operation of E-Verify. The budget request includes additional funding for implementation of the Self Check initiative within E-Verify and the operation and enhancement of the Systematic Alien Verification for Entitlements Program. Funding is also requested to continue support of immigrant integration activities started in FY 2009 to facilitate immigrant integration by supporting immigrants on the path to naturalization and by promoting the rights, responsibilities, and importance of U.S. citizenship.

**C. Budget Request Summary:**

USCIS requests 613 positions, 598 full-time equivalent employees, and \$142.974 million for the FY 2013 Salaries and Expenses account. |

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Citizenship & Immigration Services Salaries and Expenses:

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Haiti	-	-	1,807	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
SAVE	-	-	-	-	-	-	186	186	20,048	186	186	20,048	-	-	-	186	186	20,048
E-Verify	374	257	130,342	388	380	102,424	419	404	111,924	31	24	9,500	31	16	8,598	-	8	902
Real ID Act Implementation	2	2	35,620	2	2	-	2	2	-	-	-	-	-	-	-	-	-	-
Asylum and Refugee Services/Military Naturalization	264	264	54,905	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Immigrant Integration & Citizenship	6	6	10,991	-	-	-	6	6	11,002	6	6	11,002	-	-	-	6	6	11,002
Data Center Development	-	-	8,400	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Subtotal, Discretionary</b>	<b>646</b>	<b>529</b>	<b>242,064</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>613</b>	<b>598</b>	<b>142,974</b>	<b>223</b>	<b>216</b>	<b>40,550</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>192</b>	<b>200</b>	<b>31,952</b>
<b>Total, Salaries and Expenses:</b>	<b>646</b>	<b>529</b>	<b>242,064</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>613</b>	<b>598</b>	<b>142,974</b>	<b>223</b>	<b>216</b>	<b>40,550</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>192</b>	<b>200</b>	<b>31,952</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>646</b>	<b>529</b>	<b>242,064</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>613</b>	<b>598</b>	<b>142,974</b>	<b>223</b>	<b>216</b>	<b>40,550</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>192</b>	<b>200</b>	<b>31,952</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>646</b>	<b>529</b>	<b>242,064</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>613</b>	<b>598</b>	<b>142,974</b>	<b>223</b>	<b>216</b>	<b>40,550</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>192</b>	<b>200</b>	<b>31,952</b>

Note: FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.3 million, pursuant to P.L. 112-74.

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
E-Verify  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: E-Verify**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>374</b>	<b>257</b>	<b>130,342</b>
<b>2012 Enacted Budget Authority</b>	<b>388</b>	<b>380</b>	<b>102,424</b>
2013 Adjustments-to-Base	-	8	902
<b>2013 Current Services</b>	<b>388</b>	<b>388</b>	<b>103,326</b>
2013 Program Change	31	16	8,598
<b>2013 Total Requested Budget Authority</b>	<b>419</b>	<b>404</b>	<b>111,924</b>
Total Change 2012 to 2013	31	24	9,500

U.S. Citizenship & Immigration Services (USCIS) requests \$111.924 million, 419 positions, and 404 full-time equivalent employees for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

E-Verify was established by the *Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (IIRIRA)* and is based on the Employment Eligibility Form (Form I-9). E-Verify is an Internet-based system that enables an employer to determine an employee’s eligibility to work in the United States by verifying information reported on an employee’s Form I-9 against Department of Homeland Security (DHS), Social Security Administration (SSA), and Department of State databases. At the end of 2011, more than 290,000 employers were enrolled in E-Verify. Approximately 17.4 million new hires were processed through E-Verify in Fiscal Year (FY) 2011, and the program continues to grow by approximately 1,000 new employers per week.

E-Verify launched the Self Check service in March of 2011, and gradually made it available to more individuals through a three phased approach, culminating in a nationwide expansion planned for early February of 2012. In addition, USCIS offered this service in Spanish in August of 2011. Future Self Check enhancements are planned for 2012 and 2013.

In FY 2012, Self Check will be enhanced to include Employee Service Pages (ESP) and related functionality. After completing a Self Check query, which checks against the same DHS and SSA databases as E-Verify queries, users can choose to establish an individual ESP with a unique user ID



and password. Through their ESP “accounts,” individuals can: 1) protect against the fraudulent use of their social security number (SSN) by individuals seeking employment with E-Verify employers by locking (“SelfLock”) their SSN, 2) if a record mismatch is identified, the individual, once the record has been corrected, can check the status of their work authorization online without having to run a second Self Check query, and 3) receive reminders of impending employment authorization document expiration. ESPs will require the development of an additional identity assurance step and two factor authentication, and can serve as a platform for providing additional employee-focused services in the future.

**Department of Homeland Security  
 Citizenship & Immigration Services  
 Salaries and Expenses:  
 Asylum and Refugee Services/Military Naturalization  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Asylum and Refugee Services/Military Naturalization**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>264</b>	<b>264</b>	<b>54,905</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	-	-	-

[[

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Haiti  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Haiti**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>1,807</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	-	-	-

**Department of Homeland Security**  
**Citizenship & Immigration Services**  
**Salaries and Expenses:**  
**Real ID Act Implementation**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Real ID Act Implementation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>2</b>	<b>2</b>	<b>35,620</b>
<b>2012 Enacted Budget Authority</b>	<b>2</b>	<b>2</b>	<b>-</b>
<b>2013 Current Services</b>	<b>2</b>	<b>2</b>	<b>-</b>
<b>2013 Total Requested Budget Authority</b>	<b>2</b>	<b>2</b>	<b>-</b>
Total Change 2012 to 2013	-	-	-

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Immigrant Integration & Citizenship  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Immigrant Integration & Citizenship**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>6</b>	<b>6</b>	<b>10,991</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	6	6	11,002
<b>2013 Current Services</b>	<b>6</b>	<b>6</b>	<b>11,002</b>
<b>2013 Total Requested Budget Authority</b>	<b>6</b>	<b>6</b>	<b>11,002</b>
Total Change 2012 to 2013	6	6	11,002

U.S. Citizenship & Immigration Services (USCIS) requests \$11.002 million, 6 positions, and 6 full-time equivalent employees for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Office of Citizenship promotes the rights, responsibilities, and importance of citizenship and provides integration tools and resources for immigrants, organizations, and other stakeholders. Our continued success as a nation of immigrants depends on the ability of lawful newcomers to permanently settle in communities and enjoy the rights and freedoms that define our Nation. Naturalization is a critical milestone for immigrants in achieving full participation, gaining a sense of belonging, and receiving equality under the law. The Immigrant Integration program supports immigrant civic integration through the naturalization preparation process. The program funds competitive grants with the goal of expanding the availability of high-quality citizenship preparation programs for permanent residents in communities nationwide, to include citizenship instruction and naturalization application services. The Office of Citizenship:

- Provides educational products and resources that promote English-language learning and education on the rights and responsibilities of citizenship to prepare immigrants for naturalization;
- Supports community-based capacity to prepare immigrants for citizenship and civic integration through competitive grants and technical assistance;
- Improves access to information on citizenship education opportunities and resources; and

- Promotes citizenship-focused public education and awareness efforts designed to steer permanent residents, educators, and immigrant-serving organizations to the online USCIS Citizenship Resource Center, which has seen a 36-percent increase in visitors from May 2011 to October 2011. |

**Department of Homeland Security  
 Citizenship & Immigration Services  
 Salaries and Expenses:  
 Data Center Development  
 Program Performance Justification  
 (Dollars in Thousands)**

**PPA: Data Center Development**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>8,400</b>
<b>2012 Enacted Budget Authority</b>	-	-	-
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	-	-	-

**CURRENT SERVICES PROGRAM DESCRIPTION:**

[The data center development funding, managed through the Department of Homeland Security Working Capital Fund, will support the migration of U.S. Citizenship & Immigration Services (USCIS) mainframe and other applications from the Department of Justice Data Centers to the DHS Enterprise Data Centers. In Fiscal Years 2012 and 2013, funds for the data center development are being requested through DHS Office of the Chief Information Officer. ]

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
SAVE  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: SAVE**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	-
<b>2012 Enacted Budget Authority</b>	-	-	-
2013 Adjustments-to-Base	186	186	20,048
<b>2013 Current Services</b>	<b>186</b>	<b>186</b>	<b>20,048</b>
<b>2013 Total Requested Budget Authority</b>	<b>186</b>	<b>186</b>	<b>20,048</b>
Total Change 2012 to 2013	186	186	20,048

[U.S. Citizenship & Immigration Services (USCIS) requests \$20.048 million, 186 positions, and 186 full-time equivalent employees for this activity. The appropriated funding request is in addition to the collections from the Systematic Alien Verification for Entitlements (SAVE) Program query charges, which will continue to be deposited in the Immigration Examinations Fee Account and be used to support the SAVE Program. The collections from the query charges, which are estimated to be approximately \$6 million on an annual basis, are reflected in Schedule D of the budget justification for the Immigration Examinations Fee Account. ]

**CURRENT SERVICES PROGRAM DESCRIPTION:**

[The SAVE Program helps State, local, and Federal agencies determine a non-citizen's eligibility for public benefits by checking their immigration status against U.S. Department of Homeland Security immigration databases. As of January 2012, the SAVE Program has a total of 987 registered agencies. This includes 273 state agencies, 47 Departments of Motor Vehicles, 640 local agencies, and 27 Federal agencies. SAVE's customer base grew by 53 percent in FY 2011. During FY 2011, more than 12 million queries were run through SAVE. For FY 2012, through January 3, 2012, 2.8 million SAVE queries were run through the system. Large agency customers include the Social Security Administration, the U.S. Department of Housing and Urban Development, the U.S. Department of Education, and the California Department of Motor Vehicles. Every state and the District of Columbia are represented in SAVE's customer base. ]



## IV. Program Justification Changes

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Self Check  
PPA: E-Verify  
Program Increase: Positions 31, FTE 16, Dollars \$8,598,000

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	-
Program Increase							31	16	8,598
<b>Total Request</b>	-	-	-	-	-	-	<b>31</b>	<b>16</b>	<b>8,598</b>

### Description of Item

U.S. Citizenship & Immigration Services (USCIS) requests 31 positions, 16 full-time equivalent employees, and \$8.598 million for this program enhancement.

### Justification

E-Verify Self Check is an online application that is available to millions of U.S. citizens and immigrants. The Self Check service enables workers to check their work authorization status prior to being hired by their employer and gives workers information on how to correct or update their records if any inconsistencies are found. Self Check strengthens the E-Verify system and helps improve the integrity of government records by empowering individuals with information about their work eligibility status. Self Check is currently available to U.S. workers over the age of 16 who maintain an address in one of 21 states (Arizona, California, Colorado, Idaho, Louisiana, Maine, Maryland, Massachusetts, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Jersey, New York, Ohio, South Carolina, Texas, Utah, Virginia, or Washington.) plus Washington, D.C. The Secretary of Homeland Security and the Director of USCIS have mandated a nationwide roll-out to users in all 50 states by March 2012. USCIS launched the Self Check service to a limited audience on March 21, 2011 and expanded to an additional 16 states on August 12, 2011. Self Check is also now available in Spanish with additional enhancements to follow. USCIS is requesting an increase of \$8.6 million for FY 2013 to sustain the increased operations of Self Check in FY 2013.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Accelerated deployment of the Self Check initiative augments the security and integrity of our immigration system by giving employees the capability to verify their own employment eligibility outside of the hiring process. Employees can then proactively resolve record mismatches prior to having an employer run an E-Verify immigration employment eligibility check.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For necessary expenses for citizenship and immigration services, \$142,974,000, of which \$131,972,000 is for immigration verification programs, including \$111,924,000 for the E-Verify Program, as described in section 403(a) of the Illegal Immigration Reform and Immigrant Responsibility Act of 1996 (8 U.S.C. 1324a note), to assist United States employers with maintaining a legal workforce and \$20,048,000 for the SAVE Program to assist Federal, State and local benefit agencies needing immigration verification services: Provided, That, notwithstanding any other provision of law, funds otherwise made available to United States Citizenship and Immigration Services may be used to acquire, operate, equip, and dispose of up to 5 vehicles, for replacement only, for areas where the Administrator of General Services does not provide vehicles for lease: Provided further, That the Director of United States Citizenship and Immigration Services may authorize employees who are assigned to those areas to use such vehicles to travel between the employees' residences and places of employment: Provided further, That none of the funds made available in this Act for grants for immigrant integration may be used to provide services to aliens who have not been lawfully admitted for permanent residence: Provided further, That nothing in this Act or any other provision of law shall be construed to limit the authority of United States Citizenship and Immigration Services to recover SAVE query costs from SAVE Program users. (Department of Homeland Security Appropriations Act, 2012.)*

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>646</b>	<b>529</b>	<b>242,064</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>390</b>	<b>382</b>	<b>102,424</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
Transfer in of Immigrant Integration from IEFA	6	6	10,000
Transfer in of SAVE Program from IEFA	186	186	20,000
<b>Total, Transfers</b>	<b>192</b>	<b>192</b>	<b>30,000</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	-	-	295
Annualization of Prior Year Funding	-	8	687
Non pay operational adjustment	-	-	1,000
<b>Total, Increases</b>	<b>-</b>	<b>8</b>	<b>1,982</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Non-pay Operational Adjustments	-	-	(30)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(30)</b>
<b>Total, Adjustments-to-Base</b>	<b>192</b>	<b>200</b>	<b>31,952</b>
<b>FY 2013 Current Services</b>	<b>582</b>	<b>582</b>	<b>134,376</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Self Check	31	16	8,598
<b>Total, Increases</b>	<b>31</b>	<b>16</b>	<b>8,598</b>
<b>Total, Program Changes</b>	<b>31</b>	<b>16</b>	<b>8,598</b>
<b>FY 2013 Requested Budget Authority</b>	<b>613</b>	<b>598</b>	<b>142,974</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>223</b>	<b>216</b>	<b>40,550</b>

Note: FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.3 million, pursuant to P.L. 112-74.

## C. Summary of Requirements

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	646	529	242,064
<b>FY 2012 Enacted Budget Authority</b>	390	382	102,424
<b>Adjustments-to-Base</b>	-	-	-
Transfers	192	192	30,000
Increases	-	8	1,982
Decreases	-	-	(30)
<b>Total, Adjustments-to-Base</b>	192	200	31,952
<b>FY 2013 Current Services</b>	582	582	134,376
<b>Program Changes</b>	-	-	-
Increases	31	16	8,598
<b>Total, Program Changes</b>	31	16	8,598
<b>FY 2013 Requested Budget Authority</b>	613	598	142,974
<b>FY 2012 to FY 2013 Total Change</b>	223	216	40,550

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
SAVE	-	-	-	186	186	20,048	-	-	-	186	186	20,048	186	186	20,048
E-Verify	388	380	102,424	-	8	902	31	16	8,598	419	404	111,924	31	24	9,500
Real ID Act Implementation	2	2	-	-	-	-	-	-	-	2	2	-	-	-	-
Immigrant Integration & Citizenship	-	-	-	6	6	11,002	-	-	-	6	6	11,002	6	6	11,002
<b>Total</b>	<b>390</b>	<b>382</b>	<b>102,424</b>	<b>192</b>	<b>200</b>	<b>31,952</b>	<b>31</b>	<b>16</b>	<b>8,598</b>	<b>613</b>	<b>598</b>	<b>142,974</b>	<b>223</b>	<b>216</b>	<b>40,550</b>

Note: FY 2012 excludes a rescission of prior-year unobligated balances in the amount of \$1.3 million, pursuant to P.L. 112-74.

## **D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	45,940	37,533	55,063	17,530
11.3 Other than full-time permanent	207	-	192	192
11.5 Other personnel compensation	467	461	680	219
11.6 Pay Diff (Sun/Night)	1,153	-	-	-
12.1 Benefits	12,340	185	3,803	3,618
<b>Total, Personnel and Other Compensation Benefits</b>	<b>60,107</b>	<b>38,179</b>	<b>59,737</b>	<b>21,558</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	652	692	861	169
22.0 Transportation of things	54	51	1,399	1,348
23.1 GSA rent	3,824	1,774	2,982	1,208
23.2 Other rent	194	140	153	13
23.3 Communications, utilities, and misc. charges	450	595	865	270
24.0 Printing	93	200	229	29
25.1 Advisory and assistance services	77,999	68,230	58,273	(9,957)
25.2 Other services	2,943	13,837	1,836	(12,001)
25.3 Purchases from Gov't accts.	67,444	3,637	5,653	2,016
25.7 Operation and maintenance of equipment	2,776	216	236	20
26.0 Supplies and materials	399	453	521	68
31.0 Equipment	7,919	1,270	1,427	157
32.0 Land & structures	310	-	-	-
41.0 Grants/Subsidies/Contributions	16,900	-	9,200	9,200
<b>Total, Other Object Classes</b>	<b>181,957</b>	<b>91,095</b>	<b>83,636</b>	<b>(7,459)</b>
<b>Total, Direct Obligations</b>	<b>242,064</b>	<b>129,274</b>	<b>143,374</b>	<b>14,100</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	400	-	(400)
Unobligated balance, start of year	-	(27,250)	(400)	26,850
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(26,850)</b>	<b>(400)</b>	<b>26,450</b>
<b>Total Requirements</b>	<b>242,064</b>	<b>102,424</b>	<b>142,974</b>	<b>40,550</b>
<b>Full Time Equivalents</b>	<b>529</b>	<b>382</b>	<b>598</b>	<b>216</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Permanent Positions by Grade**

Grades and Salary Ranges	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
Total, SES	1	1	1	-
GS-15	74	50	78	28
GS-14	113	92	147	55
GS-13	93	41	100	59
GS-12	140	44	85	41
GS-11	66	62	31	(31)
GS-10	1	1	-	(1)
GS-9	75	45	64	19
GS-8	-	-	36	36
GS-7	36	30	58	28
GS-6	10	-	7	7
GS-5	27	17	6	(11)
GS-4	4	5	-	(5)
GS-3	1	1	-	(1)
Other Graded Positions	5	-	-	-
<b>Total Permanent Positions</b>	<b>646</b>	<b>390</b>	<b>613</b>	<b>223</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	317	235	368	133
U.S. Field	212	147	230	83
<b>Total, Salaries and Expenses:</b>	<b>529</b>	<b>382</b>	<b>598</b>	<b>216</b>
<b>Full Time Equivalents</b>	<b>529</b>	<b>382</b>	<b>598</b>	<b>216</b>
Average ES Salary	160,171	160,171	160,171	-
Average GS Salary	74,958	77,040	78,606	1,566
Average Grade	12	12	12	-



## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security**  
**Citizenship & Immigration Services**  
**Salaries and Expenses:**  
**Data Center Development**  
 Summary of Requirements by Object Class  
 (Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.3 Purchases from Gov't accts.	8,400	-	-	-
<b>Total, Other Object Classes</b>	<b>8,400</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>8,400</b>	-	-	-
<b>Full Time Equivalents</b>	-	-	-	-

### Data Center Development Mission Statement

The data center development funding, managed through the Department of Homeland Security Working Capital Fund, will support the migration of U.S. Citizenship & Immigration Services mainframe and other applications from the Department of Justice Data Centers to the DHS Enterprise Data Centers. In Fiscal Year 2013, funds for the data center development are being requested through DHS Office of the Chief Information Officer.

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Immigrant Integration & Citizenship  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	543	-	545	545
11.5 Other personnel compensation	11	-	12	12
12.1 Benefits	180	-	182	182
<b>Total, Personnel and Compensation Benefits</b>	<b>734</b>	<b>-</b>	<b>739</b>	<b>739</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	17	-	25	25
23.3 Communications, utilities, and misc. charges	2	-	2	2
25.1 Advisory and assistance services	1,113	-	978	978
25.2 Other services	3	-	3	3
25.3 Purchases from Gov't accts.	116	-	50	50
26.0 Supplies and materials	6	-	5	5
41.0 Grants/Subsidies/Contributions	9,000	-	9,200	9,200
<b>Total, Other Object Classes</b>	<b>10,257</b>	<b>-</b>	<b>10,263</b>	<b>10,263</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>10,991</b>	<b>-</b>	<b>11,002</b>	<b>11,002</b>
<b>Full Time Equivalents</b>	<b>6</b>	<b>-</b>	<b>6</b>	<b>6</b>

**Immigrant Integration & Citizenship Mission Statement**

The Office of Citizenship promotes the rights and responsibilities of citizenship and provides integration tools and resources for immigrants, organizations, and other stakeholders. Our continued success as a nation of immigrants depends on the ability of lawful newcomers to permanently settle in communities and enjoy the rights and freedoms that define our Nation. Naturalization is a critical milestone for immigrants in achieving full participation, gaining a sense of belonging, and receiving equality under the law. American society must remain open and welcoming to immigrants and provide essential tools and support for them to gain a sense of belonging and ownership in the future of our country. This program supports these goals.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	543	-	545	545
11.5 Other personnel compensation	11	-	12	12
12.1 Benefits	180	-	182	182
<b>Total, Salaries &amp; Benefits</b>	<b>734</b>	<b>-</b>	<b>739</b>	<b>739</b>

Salaries and Benefits provides for cost associated with 6 full-time equivalent employees. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$739,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$17	0	\$25	\$25

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$ 25,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$2	0	\$2	\$2

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$2,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$1,113	0	\$978	\$978

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$978,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$3	0	\$3	\$3

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$3,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$116	0	\$50	\$50

Purchases from government accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$50,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$6	0	\$5	\$5

Supplies and material are defined as commodities that are (a) ordinarily consumed or expended within 1 year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three listed criteria, at the option of the agency. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$5,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	\$9,000	0	\$9,200	\$9,200

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. For FY 2012, Immigrant Integration and Citizenship was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$9.2 million.

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Asylum and Refugee Services/Military Naturalization**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	22,982	-	-	-
11.3 Other than full-time permanent	21	-	-	-
11.5 Other personnel compensation	74	-	-	-
11.6 Pay Diff (Sun/Night)	1,153	-	-	-
12.1 Benefits	5,750	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>29,980</b>	-	-	-
<b>Other Object Classes</b>	-	-	-	-
23.1 GSA rent	2,081	-	-	-
23.3 Communications, utilities, and misc. charges	36	-	-	-
25.1 Advisory and assistance services	6,758	-	-	-
25.2 Other services	2,457	-	-	-
25.3 Purchases from Gov't accts.	5,550	-	-	-
25.7 Operation and maintenance of equipment	142	-	-	-
41.0 Grants/Subsidies/Contributions	7,900	-	-	-
<b>Total, Other Object Classes</b>	<b>24,924</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>54,905</b>	-	-	-
<b>Full Time Equivalents</b>	<b>264</b>	-	-	-

**Asylum and Refugee Services/Military Naturalization Mission Statement**

The Asylum/Refugee Operating Expenses program within the Salaries & Expenses account includes funding for the Refugee and Asylum Divisions of the Refugee, Asylum, and International Operations Directorate, as well as administrative costs associated with Asylum and Refugee services. Appropriated funding for this account was provided in FY 2011. For FY 2012 and FY 2013, all of the funding for these services is reflected in the Immigration Examinations Fee Account.

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
Real ID Act Implementation**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	301	301	301	-
11.5 Other personnel compensation	1	1	1	-
12.1 Benefits	90	90	90	-
<b>Total, Personnel and Compensation Benefits</b>	<b>392</b>	<b>392</b>	<b>392</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
23.1 GSA rent	1	1	1	-
25.3 Purchases from Gov't accts.	35,227	27	7	(20)
<b>Total, Other Object Classes</b>	<b>35,228</b>	<b>28</b>	<b>8</b>	<b>(20)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(820)	(400)	420
Unobligated Balance, end of year	-	400	-	(400)
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(420)</b>	<b>(400)</b>	<b>20</b>
<b>Total Requirements</b>	<b>35,620</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>-</b>

**Real ID Act Implementation Mission Statement**

The REAL ID Act requires that a State must verify the information on source documents before it can issue a REAL ID-compliant driver's license or identification card to applicants. The funding provided through USCIS is aimed specifically at the development and deployment of enhanced network communications and data verification capabilities that will enable States to meet the verification requirements of the REAL ID Act and Final Rule. The integrity of the immigration system is facilitated if State efforts through REAL ID discourage the use of false immigration information to unlawfully obtain benefits.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$35,227	\$27	\$7	-\$20

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects a decrease of \$20,000.

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:  
E-Verify  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	22,114	37,232	42,703	5,471
11.3 Other than full-time permanent	186	-	-	-
11.5 Other personnel compensation	381	460	503	43
12.1 Benefits	6,320	95	5	(90)
<b>Total, Personnel and Compensation Benefits</b>	<b>29,001</b>	<b>37,787</b>	<b>43,211</b>	<b>5,424</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	635	692	754	62
22.0 Transportation of things	54	51	56	5
23.1 GSA rent	1,742	1,773	1,935	162
23.2 Other rent	194	140	153	13
23.3 Communications, utilities, and misc. charges	412	595	649	54
24.0 Printing	93	200	218	18
25.1 Advisory and assistance services	68,321	68,230	57,131	(11,099)
25.2 Other services	483	13,837	1,760	(12,077)
25.3 Purchases from Gov't accts.	18,151	3,610	3,940	330
25.7 Operation and maintenance of equipment	2,634	216	236	20
26.0 Supplies and materials	393	453	494	41
31.0 Equipment	7,919	1,270	1,387	117
32.0 Land & structures	310	-	-	-
<b>Total, Other Object Classes</b>	<b>101,341</b>	<b>91,067</b>	<b>68,713</b>	<b>(22,354)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(26,430)	-	26,430
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(26,430)</b>	<b>-</b>	<b>26,430</b>
<b>Total Requirements</b>	<b>130,342</b>	<b>102,424</b>	<b>111,924</b>	<b>9,500</b>
<b>Full Time Equivalents</b>	<b>257</b>	<b>380</b>	<b>404</b>	<b>24</b>

**E-Verify Mission Statement**

The E-Verify Program provides verified, trusted, and timely immigration status and employment authorization to its customers in an effort to strengthen the security and integrity of the U.S. immigration system.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	22,114	37,232	42,703	5,471
11.3 Other than full-time permanent	186	-	-	-
11.5 Other personnel compensation	381	460	503	43
12.1 Benefits	6,320	95	5	(90)
<b>Total, Salaries &amp; Benefits</b>	<b>29,001</b>	<b>37,787</b>	<b>43,211</b>	<b>5,424</b>

Salaries and Benefits includes costs for 404 full-time equivalent employees. The FY 2013 request reflects an increase of \$5.424 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$635</b>	<b>\$692</b>	<b>\$754</b>	<b>\$62</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects an increase of \$62,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$54</b>	<b>\$51</b>	<b>\$56</b>	<b>\$5</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 request reflects an increase of \$5,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>\$1,742</b>	<b>\$1,773</b>	<b>\$1,935</b>	<b>\$162</b>

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. The FY 2013 request reflects an increase of \$162,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$194</b>	<b>\$140</b>	<b>\$153</b>	<b>\$13</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request reflects an increase of \$13,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$412</b>	<b>\$595</b>	<b>\$649</b>	<b>\$54</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects an increase of \$54,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	\$93	\$200	\$218	\$18

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request reflects an increase of \$18,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	\$68,321	\$68,230	\$57,131	-\$11,099

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$11.099 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	\$483	\$13,837	\$1,760	-\$12,077

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects an anticipated decrease of \$12.077 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	\$18,151	\$3,610	\$3,940	\$330

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects an anticipated increase of \$330,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$2,634	\$216	\$236	\$20

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects an increase of \$20,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$393	\$453	\$494	\$41

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within 1 year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three listed criteria, at the option of the agency. The FY 2013 request reflects an increase of \$41,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	<b>\$7,919</b>	<b>\$1,270</b>	<b>\$1,387</b>	<b>\$117</b>

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects an increase of \$117,000.

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:**

**SAVE**

Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	11,514	11,514
11.3 Other than full-time permanent	-	-	192	192
11.5 Other personnel compensation	-	-	164	164
12.1 Benefits	-	-	3,526	3,526
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>15,395</b>	<b>15,395</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	82	82
22.0 Transportation of things	-	-	1,343	1,343
23.1 GSA rent	-	-	1,046	1,046
23.3 Communications, utilities, and misc. charges	-	-	214	214
24.0 Printing	-	-	11	11
25.1 Advisory and assistance services	-	-	164	164
25.2 Other services	-	-	73	73
25.3 Purchases from Gov't accts.	-	-	1,656	1,656
26.0 Supplies and materials	-	-	22	22
31.0 Equipment	-	-	40	40
<b>Total, Other Object Classes</b>	-	-	<b>4,652</b>	<b>4,652</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>20,048</b>	<b>20,048</b>
<b>Full Time Equivalents</b>	-	-	<b>186</b>	<b>186</b>

**SAVE Mission Statement**

The Systematic Alien Verification for Entitlements (SAVE) Program helps state, local, and federal agencies determine a non-citizen's eligibility for public benefits by checking their immigration status. For FY 2012, SAVE was funded through the Immigration Examinations Fee Account.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	11,514	11,514
11.3 Other than full-time permanent	-	-	192	192
11.5 Other personnel compensation	-	-	164	164
12.1 Benefits	-	-	3,526	3,526
<b>Total, Salaries &amp; Benefits</b>	-	-	<b>15,395</b>	<b>15,395</b>

Salaries and benefits include cost for 186 FTE. The FY 2013 request reflects an increase of \$15.395 million which includes a pay increase of \$77,000. For FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$15.395 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>0</b>	<b>0</b>	<b>\$82</b>	<b>\$82</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. For FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$82,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>0</b>	<b>0</b>	<b>\$1,343</b>	<b>\$1,343</b>

Transportation of things include all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. For FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$1.343 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.1 GSA rent</b>	<b>0</b>	<b>0</b>	<b>\$1,046</b>	<b>\$1,046</b>

GSA rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. For FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$1.046 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>0</b>	<b>0</b>	<b>\$214</b>	<b>\$214</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$214,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	0	0	\$11	\$11

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$11,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	0	0	\$164	\$164

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$164,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	0	0	\$73	\$73

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$73,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	0	\$1,656	\$1,656

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$1.656 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	0	\$22	\$22

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$22,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	0	0	\$40	\$40

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. In FY 2012, SAVE was funded through the Immigration Examinations Fee Account. The FY 2013 request reflects an increase of \$40,000.

**Department of Homeland Security  
Citizenship & Immigration Services  
Salaries and Expenses:**

**Haiti**

Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.1 Advisory and assistance services	1,807	-	-	-
<b>Total, Other Object Classes</b>	<b>1,807</b>	-	-	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,807</b>	-	-	-
<b>Full Time Equivalents</b>	-	-	-	-

**Haiti Mission Statement**

For necessary expenses and other disaster response activities related to Haiti following the earthquake of January 12, 2010, for reception and resettlement services provided under the Cuban/Haitian Entrant Program; fee waivers for eligible Haitians granted Temporary Protective Status; and the humanitarian parole program to bring medical evacuees and certain categories of Haitians into the United States.



## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>218</b>	<b>529</b>	<b>382</b>
<b>Increases</b>			
Annualization of Authorized FTE in line with requested budget levels	47	123	8
E-Verify Program Increase - Self Check	-	-	16
FY 2011 Refugee and Asylum Services	264	-	-
Adjustment to reflect transfer - Immigrant Integration	-	-	6
Adjustment to reflect transfer - SAVE	-	-	186
<b>Subtotal, Increases</b>	<b>311</b>	<b>123</b>	<b>216</b>
<b>Decreases</b>			
Adjustment to reflect transfer of Immigrant Integration to IEFA	-	(6)	-
Adjustment to reflect transfer of Asylum & Refugee Services to IEFA	-	(264)	-
<b>Subtotal, Decreases</b>	<b>-</b>	<b>(270)</b>	<b>-</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>529</b>	<b>382</b>	<b>598</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>311</b>	<b>(147)</b>	<b>216</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

Program/Project/Activity	FY 2011 Actual Obligations Amount	FY 2012 Enacted Budget Authority Amount	FY 2013 Requested Budget Authority Amount	Increase/Decrease for FY 2013 Amount
E-Verify	\$14,641	\$1,082	\$1,663	\$581
<b>Total Working Capital Fund</b>	<b>14,641</b>	<b>1,082</b>	<b>1,663</b>	<b>581</b>

## **K. DHS Balanced Workforce Strategy**

N/A

# **Department of Homeland Security**

*U.S. Citizenship & Immigration Services  
Immigration Examinations Fee Account*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Citizenship & Immigration Services Immigration Examinations Fee Account**

#### **I. Appropriation Overview**

##### **A. Mission Statement for the Immigration Examinations Fee Account:**

The Immigration Examinations Fee Account (IEFA) is the primary funding source for the U.S. Citizenship and Immigration Services (USCIS) and comprised approximately 94 percent of the total funding available to USCIS in Fiscal Year (FY) 2011. Fees collected from the filing of immigration benefit applications are deposited into the IEFA and used to fund the cost of processing immigration benefit applications and associated support benefits and the cost of similar benefits provided to other immigrants where fees are waived.

##### **B. Budget Activities:**

###### Adjudication Services

Through a network of approximately 235 domestic and foreign offices, USCIS is responsible for the timely and quality processing of:

- ***Family-based petitions*** -- facilitating the process for close relatives of U.S. citizens and permanent residents to immigrate, gain permanent residency, work, etc.
- ***Employment-based petitions*** -- facilitating the process for current and prospective employees to immigrate or work in the United States temporarily
- ***Asylum and Refugee petitions*** -- adjudicating asylum applications and processing refugees
- ***Naturalization petitions*** -- processing applications of those who wish to become U.S. citizens

Secure identity cards and travel document booklets are personalized and provided to recipients of certain immigration benefits as evidence of immigration status and for use in proving eligibility to work and live in the United States and/or to re-enter the United States after travel abroad. Premium processing revenues collected into this account fund the Transformation Program, which is a multi-year effort to modernize USCIS business processes and supporting systems.

###### Information and Customer Services

Through multiple channels of available assistance, including the USCIS website, toll-free call centers (National Customer Service Call Centers), and face-to-face appointments, these services make it easier for customers to get the information they need, when they need it. On an annual basis, USCIS:

- Serves more than 11.8 million customers via the National Customer Service Call Centers
- Serves customers through information counters at local and international offices

### Administration

The Administration activity supports a variety of headquarters offices including the Office of the Director, Administration, Chief Financial Officer, Chief Counsel, Contracting, Communications, Legislative Affairs, Policy and Strategy, Equal Opportunity and Inclusion, Chief Human Capital Officer, and Security and Integrity.

### Systematic Alien Verification for Entitlements (SAVE)

SAVE assists Federal, State, and local benefit-granting agencies with determining eligibility for benefits by verifying immigration status. For FY 2013, \$20 million in funding for the SAVE Program is included in the Salaries and Expenses budget request. In addition, approximately \$6 million in SAVE query charges will continue to be collected and expended in IEFA.

### **C. Budget Request Summary:**

USCIS requests 11,501 positions, 9,917 full-time equivalent employees, and \$2.815 billion for FY 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Summary of FY 2013 Budget Estimates by Program Project Activity**

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Adjudication Services	9,381	8,230	2,041,363	10,186	8,611	2,423,351	10,180	8,773	2,343,514	(6)	162	(79,837)	-	-	-	(6)	162	(79,837)
Information and Customer Services	271	228	68,299	269	234	88,891	269	234	89,011	-	-	120	-	-	-	-	-	120
Administration	979	866	353,134	1,052	910	381,666	1,052	910	382,334	-	-	668	-	-	-	-	-	668
SAVE	186	155	16,722	186	178	29,937	-	-	-	(186)	(178)	(29,937)	-	-	-	(186)	(178)	(29,937)
<b>Subtotal, Mandatory</b>	<b>10,817</b>	<b>9,479</b>	<b>2,479,518</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>	-	-	-	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>
<b>Total, Immigration Examinations Fee Account:</b>	<b>10,817</b>	<b>9,479</b>	<b>2,479,518</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>	-	-	-	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>10,817</b>	<b>9,479</b>	<b>2,479,518</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>	-	-	-	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>10,817</b>	<b>9,479</b>	<b>2,479,518</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>	-	-	-	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>



### III. Current Services Program Description by PPA

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Adjudication Services  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Adjudication Services**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	<b>9,381</b>	<b>8,230</b>	<b>2,041,363</b>
<b>2012 Enacted Budget Authority</b>	<b>10,186</b>	<b>8,611</b>	<b>2,423,351</b>
2013 Adjustments-to-Base	(6)	162	(79,837)
<b>2013 Current Services</b>	<b>10,180</b>	<b>8,773</b>	<b>2,343,514</b>
<b>2013 Total Requested Budget Authority</b>	<b>10,180</b>	<b>8,773</b>	<b>2,343,514</b>
Total Change 2012 to 2013	(6)	162	(79,837)

U.S. Citizenship and Immigrations Service (USCIS) requests 10,180 positions, 8,773 full-time equivalent employees, and \$2,344 billion to process millions of immigration benefit applications while maintaining backlog goals and ensuring the security and integrity of the immigration system.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Adjudication Services is composed of five USCIS directorates and many program offices: District Operations; Service Center Operations; Refugee, Asylum, and International Operations; Records Operations; and the Office of Transformation Coordination.

**District Operations**

**Field Operations**

Field Operations ensures the efficient adjudication of all applications and petitions for immigration benefits requiring face-to-face interviews, timely action on related ancillary applications and other assigned product lines, provision of direct customer service, immigration information, assurance of the integrity of the immigration system, and assistance to applicants, petitioners, and beneficiaries.

## **Fraud Detection and National Security (FDNS)**

FDNS detects and combats immigration benefit fraud, identifies threats to national security and public safety posed by those seeking immigration benefits, and serves as an effective conduit of information between USCIS and the law enforcement and intelligence communities.

## **Office of Information Technology**

The Office of Information Technology, a component within the Management Directorate, supports USCIS operations with technology services and solutions.

## **Service Center Operations (SCOPS)**

SCOPS is one of the key operational components of USCIS. Tasked with the adjudication of the largest volume of applications across the broadest and most diverse cross-section of immigration benefits, SCOPS is a strong and vital partner in the development of immigration policies and programs to ensure improved customer service while delivering the right benefit, to the right person, without delay. SCOPS continuously evaluates and modifies workflow processes in order to more effectively and efficiently administer immigration laws within the established cycle times, and is dedicated to ensuring the security of the United States through a vigilant workforce of officers who incorporate numerous security checks on a broad range of immigration benefit applications. Working closely with adjudications staff, law enforcement agencies, and other government agencies, the specialized teams within each service center conduct extensive research and vetting of individuals and organizations that may pose a threat to the national security of the United States.

## **Refugee, Asylum, and International Operations (RAIO)**

RAIO extends protection, citizenship, and other immigration benefits to eligible individuals as well as detecting fraud and protecting national security. RAIO is comprised of three operational divisions. The Refugee Affairs Division is a headquarters-based operation whose officers travel internationally to conduct refugee processing in accordance with U.S. law and international obligations. The Asylum Division has eight domestic offices which conduct adjudications of affirmative asylum applications and conduct credible fear screening for all persons placed in expedited removal who request asylum or express a fear of persecution or torture on return to their country of origin. The International Operations Division has three overseas district offices (Mexico City, Bangkok, Rome) and 28 field offices. With a broad footprint extending from U.S. embassies and consulates to additional refugee processing locations, RAIO is the face of USCIS abroad.

RAIO officers conduct refugee and asylum interviews in the United States and in dozens of overseas locations, they authorize parole for individuals in emergent and humanitarian circumstances, and conduct a full range of other immigration benefit adjudications. RAIO officers reunite separated refugee and asylee family members, unite prospective adoptive parents with children who are in need of a home, and travel to overseas military bases to naturalize men and women as U.S. citizens who serve in the U.S. military. RAIO administers the Cuban and Haitian Entrant Program, providing multi-million dollar grants to non-governmental organizations that provide orientations and resettlement services to Cuban and Haitian migrants paroled into the United States. In furtherance of USCIS' mission and United States interests,

RAIO liaises with United States and foreign government, international organizations, civil society, and private entities worldwide. RAIO is vigilant in safeguarding the integrity of USCIS' various programs by deterring and detecting fraud and threats to national security.

### **Records Operations**

Records Operations funds the management of U.S. immigration records, which includes both the Records Division and the National Records Center (NRC) located within USCIS's Enterprise Services Directorate. The Records Division is the caretaker of the country's immigration records, commonly known as alien files or "A-files," which document individuals' journeys from their original entries into the United States to naturalization. These records are the sole source of information used during the immigration adjudication process. NRC provides customers with timely access to information from the agency's A-files and subsidiary data systems. NRC operations include records, information liaison, case resolution, and Freedom of Information Act processing.

### **Office of Transformation Coordination (OTC) |**

USCIS is transforming from a paper-based filing system to a customer-focused electronic filing system. In November 2008, USCIS awarded a 5-year contract to a Solutions Architect to incrementally design, build, implement, and maintain the transformed business capabilities. As a result, USCIS expects to decommission more than 10 major USCIS legacy systems, including Claims 3 and Claims 4. To fundamentally transform its business practices, USCIS is conducting comprehensive organizational change management and stakeholder outreach efforts to keep stakeholders abreast of changes and provide feedback to OTC staff. With the new system, customers will be able to establish online Immigration Accounts that provide a single, electronic location where an applicant's information is stored. Each account holder will have the ability to update information or conduct activities that link back to the individual's account. An account will provide a comprehensive view of an applicant's history of interactions with USCIS and contain up-to-date information about case status. In addition, USCIS officers will access relevant case information to support and facilitate decision-making in one electronic location. This core capability of USCIS Transformation will enable officers to focus on decision-making rather than information-gathering and provide better case-specific resources. This will include access to case facts and evidence, and tools to process cases. In FY2013, USCIS will continue enhancing USCIS Electronic Immigration System (ELIS) by deploying additional functionality and benefit request types.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Information and Customer Services  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Information and Customer Services**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>271</b>	<b>228</b>	<b>68,299</b>
<b>2012 Enacted Budget Authority</b>	<b>269</b>	<b>234</b>	<b>88,891</b>
2013 Adjustments-to-Base	-	-	120
<b>2013 Current Services</b>	<b>269</b>	<b>234</b>	<b>89,011</b>
<b>2013 Total Requested Budget Authority</b>	<b>269</b>	<b>234</b>	<b>89,011</b>
Total Change 2012 to 2013	-	-	120

[U.S. Citizenship & Immigration Services (USCIS) requests 269 positions, 234 full-time equivalent employees, and \$89.011 million to provide timely, consistent, and accurate information to our customers. ]

**CURRENT SERVICES PROGRAM DESCRIPTION:**

[The Customer Service Directorate (CSD) provides nationwide assistance to customers who contact the USCIS by telephone with questions about immigration services and benefits, and issues related to case processing. To meet the demand for telephone customer service, CSD designed and implemented a triage process whereby callers were able to access and obtain general information and case status through a network Interactive Voice Response (IVR) system. Callers whose inquiries require additional information can be transferred to receive live assistance.

The Contact Center Enterprise Office (CCEO) is the branch responsible for oversight of the National Customer Service Center (NCSC) 1-800 number for USCIS. This number provides the general public with prompt and accurate information to their telephonic inquiries regarding immigration laws and benefits. The NCSC 1-800 number averages nearly 1 million telephonic inquiries per month. When a customer calls the NCSC, the call goes directly to the IVR system, which is available in English and Spanish. If the customer cannot receive resolution to his or her inquiry through the IVR, the customer can request to speak to a live Customer Service Representative (CSR) at a Tier 1 call center. CCEO operates three call center locations providing first line support to our customers. These centers are located in Chantilly, Virginia, Barbourville, Kentucky, and Fort Worth, Texas. After speaking to a CSR, if the customer requires additional support or has a unique and complex scenario, the CSR will transfer the call to an Immigration Services Officer (ISO) at a Tier 2 Call Center. In this second line of

support, the NCSC utilizes USCIS employees who have an extensive immigration law background. Tier 2 ISO call centers are located in New York City and Los Angeles.

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**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Administration  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>979</b>	<b>866</b>	<b>353,134</b>
<b>2012 Enacted Budget Authority</b>	<b>1,052</b>	<b>910</b>	<b>381,666</b>
2013 Adjustments-to-Base	-	-	668
<b>2013 Current Services</b>	<b>1,052</b>	<b>910</b>	<b>382,334</b>
<b>2013 Total Requested Budget Authority</b>	<b>1,052</b>	<b>910</b>	<b>382,334</b>
Total Change 2012 to 2013	-	-	668

[U.S. Citizenship & Immigration Services (USCIS) requests 1,052 positions, 910 full-time equivalent employees, and \$382.334 million to strengthen key management processes, systems, and administrative support activities; and to facilitate mission success and enhance the timeliness, accountability, efficiency, and effectiveness of service delivery. ]

**CURRENT SERVICES PROGRAM DESCRIPTION:**

[The Administration Program is composed of offices that are included in the Management Directorate as well as other program offices. The Management Directorate manages resources to provide timely, effective, and efficient products and services in its business line; promoting accountability, transparency, and integrity through the evaluation of and application of management practices and controls within USCIS. Specifically, the following Management Directorate program offices include: Office of Administration; Office of the Chief Financial Officer; Office of Contracting; Office of Equal Opportunity and Inclusion; Office of Human Capital and Training; and the Office of Security and Integrity.

Outside of the offices of the Director, Deputy Director, and the Chief of Staff, core offices include the following:

**Office of Administration** plans, develops, implements, and evaluates agency-wide policies, procedures, and programs for Acquisition, Asset, and Facilities Management, for the operation of centrally managed, agency-wide support activities, and for the direct delivery of administrative support to Headquarters.

**Office of Chief Counsel (OCC)** consists of dedicated legal divisions advising and representing USCIS Operations both at Headquarters and in the field. Divisions include Adjudications Law, Refugee and Asylum Law, Commercial and Administrative Law, Ethics, Field Operations, Training, and Liaison. Each division is responsible for reviewing, interpreting, and providing legal advice and guidance to USCIS operational components and OCC field staff.

**Office of the Chief Financial Officer** coordinates the development and execution of the budget and biennial fee reviews; manages investment and performance measurement processes; conducts financial management consistent with law, regulation, standards, and best practices; and undertakes economic analysis supporting regulations development.

**Office of Communications** oversees and coordinates communication to both internal and external stakeholders to empower employees with the tools needed to perform their jobs, educate the public regarding USCIS benefits and services, and facilitate consistent messaging and imaging for USCIS.

**Office of Contracting** provides the management, oversight, and guidance for the Contracting program. The primary role of the office is to provide USCIS with the supplies/services necessary to accomplish the mission.

**Office of Legislative Affairs** maintains communication with Congress through its responses to constituent concerns, promotion of USCIS priorities, proactive outreach on issues of interest, and ongoing educational activities for Members of Congress and staff.

**Office of Equal Opportunity and Inclusion** ensures individuals are not denied opportunities in employment or program-services delivery because of their race, color, religion, sex, national origin, age, disability, sexual orientation, status as a parent, genetic information, or reprisal. |

**Office of Policy and Strategy** directs, prioritizes, and sets the agenda for agency-wide policy, strategy, and long-term planning activities, as well as for the conduct of research and analysis on immigration services issues.

**Office of Security and Integrity (OSI)** leads a multi-disciplined security and integrity program to protect and safeguard USCIS personnel, facilities, information, and assets. OSI manages the personnel and industrial security, administrative/special security, communications security, and physical security programs and oversees the security awareness training program. OSI also manages a comprehensive internal management review program of USCIS functions and protects the integrity of USCIS programs by investigating allegations of employee misconduct related to waste, fraud, abuse, or mismanagement.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
SAVE  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: SAVE**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>186</b>	<b>155</b>	<b>16,722</b>
<b>2012 Enacted Budget Authority</b>	<b>186</b>	<b>178</b>	<b>29,937</b>
2013 Adjustments-to-Base	(186)	(178)	(29,937)
<b>2013 Current Services</b>	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	-
Total Change 2012 to 2013	(186)	(178)	(29,937)

[U.S. Citizenship & Immigration Services (USCIS) has requested \$20 million in appropriated funding for Systematic Alien Verification for Entitlements (SAVE) in FY 2013. The funding request is reflected in the Salaries and Expenses Account in the FY 2013 President’s Budget submission. The appropriated funding request is in addition to the collections from the SAVE query charges, which will continue to be deposited in the Immigration Examinations Fee Account and be used to support the SAVE Program. The collections from the query charges, which are estimated to be approximately \$6 million on an annual basis, are reflected in Schedule D. ]

**CURRENT SERVICES PROGRAM DESCRIPTION:**

[SAVE helps State, local, and Federal agencies determine a non-citizen’s eligibility for public benefits by checking their immigration status against U.S. Department of Homeland Security immigration databases. As of January 2012, the SAVE Program has a total of 987 registered agencies. This includes 273 State agencies, 47 Departments of Motor Vehicles, 640 local agencies, and 27 Federal agencies. SAVE’s customer base grew by 53 percent in FY 2011. During FY 2011, more than 12 million queries were run through SAVE. For FY 2012 through January 3, 2012, 2.8 million SAVE queries were run through the system. Large agency customers include the Social Security Administration, the U.S. Department of Housing and Urban Development, the U.S. Department of Education, and the California Department of Motor Vehicles. Every State and the District of Columbia are represented in SAVE’s customer base. ]



#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>10,817</b>	<b>9,479</b>	<b>2,479,518</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
Transfer out Immigrant Integration Grants to Salaries and Expenses	(6)	(6)	(10,000)
Transfer out SAVE to Salaries and Expenses	(186)	(178)	(20,000)
<b>Total, Transfers</b>	<b>(192)</b>	<b>(184)</b>	<b>(30,000)</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	-	-	5,790
Technical Adjustment	-	168	-
<b>Total, Increases</b>	<b>-</b>	<b>168</b>	<b>5,790</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Adjustment to Base	-	-	(74,839)
Adjustment to SAVE reimbursable collections	-	-	(6,000)
Non-Pay Operational Adjustment	-	-	(3,937)
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(84,776)</b>
<b>Total, Adjustments-to-Base</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>
<b>FY 2013 Current Services</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2013 Requested Budget Authority</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>

## C. Summary of Requirements

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	10,817	9,479	2,479,518
<b>FY 2012 Enacted Budget Authority</b>	11,693	9,933	2,923,845
<b>Adjustments-to-Base</b>	-	-	-
Transfers	(192)	(184)	(30,000)
Increases	-	168	5,790
Decreases	-	-	(84,776)
<b>Total, Adjustments-to-Base</b>	(192)	(16)	(108,986)
<b>FY 2013 Current Services</b>	11,501	9,917	2,814,859
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	11,501	9,917	2,814,859
<b>FY 2012 to FY 2013 Total Change</b>	(192)	(16)	(108,986)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Adjudication Services	10,186	8,611	2,423,351	(6)	162	(79,837)	-	-	-	10,180	8,773	2,343,514	(6)	162	(79,837)
Information and Customer Services	269	234	88,891	-	-	120	-	-	-	269	234	89,011	-	-	120
Administration	1,052	910	381,666	-	-	668	-	-	-	1,052	910	382,334	-	-	668
SAVE	186	178	29,937	(186)	(178)	(29,937)	-	-	-	-	-	-	(186)	(178)	(29,937)
<b>Total</b>	<b>11,693</b>	<b>9,933</b>	<b>2,923,845</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>11,501</b>	<b>9,917</b>	<b>2,814,859</b>	<b>(192)</b>	<b>(16)</b>	<b>(108,986)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS OES	-	-	53	-	-	-	-	-	-	-	-	-
Department of Defense	-	-	-	-	-	7,500	-	-	7,500	-	-	-
Immigration and Customs Enforcement	-	-	11,390	-	-	11,910	-	-	12,506	-	-	596
National Protection and Program Directorate (NPPD)	-	-	81	-	-	-	-	-	-	-	-	-
SAVE Collections	-	-	-	-	-	6,000	-	-	6,000	-	-	-
Social Security Administration, DAIP	-	-	4	-	-	9	-	-	10	-	-	1
Transportation Security Administration	-	-	552	-	-	580	-	-	609	-	-	29
U.S. Customs and Border Protection	-	-	5,369	-	-	5,751	-	-	6,039	-	-	288
U.S. Marshall Service	-	-	200	-	-	320	-	-	336	-	-	16
UK VISA	-	-	3,144	-	-	3,000	-	-	3,150	-	-	150
<b>Total Budgetary Resources</b>	-	-	<b>20,793</b>	-	-	<b>35,070</b>	-	-	<b>36,150</b>	-	-	<b>1,080</b>

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Adjudication Services	-	-	20,793	-	-	29,070	-	-	30,150	-	-	1,080
SAVE Collections	-	-	-	-	-	6,000	-	-	6,000	-	-	-
<b>Total Obligations</b>	-	-	<b>20,793</b>	-	-	<b>35,070</b>	-	-	<b>36,150</b>	-	-	<b>1,080</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	757,528	879,751	872,300	(7,451)
11.3 Other than full-time permanent	6,410	6,434	6,259	(175)
11.5 Other personnel compensation	4,092	656	619	(37)
11.6 Pay Diff (Sun/Night)	9,350	3,444	3,461	17
11.7 Military personnel/Awards	10,342	8,674	8,618	(55)
11.8 Special Service Pay	10	-	-	-
12.1 Benefits	234,621	273,872	271,613	(2,259)
13.0 Unemployment Compensation	991	958	963	5
<b>Total, Personnel and Other Compensation Benefits</b>	<b>1,023,344</b>	<b>1,173,790</b>	<b>1,163,834</b>	<b>(9,956)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	24,751	21,678	21,430	(248)
22.0 Transportation of things	10,234	8,928	8,867	(61)
23.1 GSA rent	202,558	209,916	215,818	5,902
23.2 Other rent	5,807	4,543	4,485	(58)
23.3 Communications, utilities, and misc. charges	40,467	38,436	38,180	(257)
24.0 Printing	8,069	6,851	6,841	(10)
25.1 Advisory and assistance services	697,379	904,574	843,092	(61,482)
25.2 Other services	48,144	34,239	34,054	(185)
25.3 Purchases from Gov't accts.	252,704	274,048	265,727	(8,321)
25.4 O&M of facilities	8	6	6	-
25.7 Operation and maintenance of equipment	47,768	65,370	53,369	(12,001)
25.8 Subsistence & Support of persons	8,777	23,502	18,628	(4,874)
26.0 Supplies and materials	30,894	32,672	32,566	(106)
31.0 Equipment	53,727	91,691	79,360	(12,331)
32.0 Land & structures	23,657	19,662	19,662	-
41.0 Grants/Subsidies/Contributions	24	12,915	7,915	(5,000)
42.0 Insurance Claims and Indemnity	1,205	1,025	1,025	-
<b>Total, Other Object Classes</b>	<b>1,456,174</b>	<b>1,750,055</b>	<b>1,651,025</b>	<b>(99,030)</b>
<b>Total, Direct Obligations</b>	<b>2,479,518</b>	<b>2,923,845</b>	<b>2,814,859</b>	<b>(108,986)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>2,479,518</b>	<b>2,923,845</b>	<b>2,814,859</b>	<b>(108,986)</b>
<b>Full Time Equivalents</b>	<b>9,479</b>	<b>9,933</b>	<b>9,917</b>	<b>(16)</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	58	58	58	-
Total, EX	1	1	1	-
GS-15	543	587	578	(9)
GS-14	864	934	919	(15)
GS-13	1,533	1,658	1,631	(27)
GS-12	3,010	3,255	3,201	(54)
GS-11	1,062	1,149	1,130	(19)
GS-10	18	19	19	-
GS-9	1,643	1,778	1,748	(30)
GS-8	83	90	88	(2)
GS-7	1,217	1,316	1,294	(22)
GS-6	163	176	173	(3)
GS-5	580	627	617	(10)
GS-4	37	40	39	(1)
GS-3	4	4	4	-
GS-2	1	1	1	-
<b>Total Permanent Positions</b>	<b>10,817</b>	<b>11,693</b>	<b>11,501</b>	<b>(192)</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	-	-	-	-
Headquarters	2,043	2,210	2,173	(37)
U.S. Field	8,699	9,411	9,256	(155)
Foreign Field	75	72	72	-
<b>Total, Immigration Examinations Fee Account:</b>	<b>10,817</b>	<b>11,693</b>	<b>11,501</b>	<b>(192)</b>
<b>Full Time Equivalents</b>	<b>9,479</b>	<b>9,933</b>	<b>9,917</b>	<b>(16)</b>
Average ES Salary	162,784	162,784	162,784	-
Average GS Salary	70,126	70,126	71,248	1,122
Average Grade	11	11	11	-

## **G. Capital Investment and Construction Initiative Listing**

N/A



## H. PPA Budget Justifications

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Adjudication Services: District Operations  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	429,149	489,672	492,120	2,448
11.3 Other than full-time permanent	2,871	2,780	2,794	14
11.5 Other personnel compensation	208	-	-	-
11.6 Pay Diff (Sun/Night)	2,794	1,762	1,771	9
11.7 Military personnel/Awards	6,305	4,824	4,848	24
12.1 Benefits	127,981	146,030	146,760	730
<b>Total, Personnel and Compensation Benefits</b>	<b>569,308</b>	<b>645,068</b>	<b>648,293</b>	<b>3,225</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	7,048	8,412	8,412	-
22.0 Transportation of things	1,203	1,436	1,436	-
23.1 GSA rent	50,600	52,434	54,150	1,716
23.2 Other rent	932	1,113	1,113	-
23.3 Communications, utilities, and misc. charges	7,115	8,491	8,491	-
24.0 Printing	2,770	3,306	3,306	-
25.1 Advisory and assistance services	315,371	381,401	374,685	(6,716)
25.2 Other services	4,015	4,792	4,792	-
25.3 Purchases from Gov't accts.	86,187	102,866	102,866	-
25.7 Operation and maintenance of equipment	35,599	42,488	42,488	-
25.8 Subsistence & Support of persons	852	1,017	1,017	-
26.0 Supplies and materials	6,160	7,352	7,352	-
31.0 Equipment	19,973	23,838	23,838	-
32.0 Land & structures	1,153	1,376	1,376	-
41.0 Grants/Subsidies/Contributions	-	5,000	-	(5,000)
42.0 Insurance Claims and Indemnity	130	156	156	-
<b>Total, Other Object Classes</b>	<b>539,109</b>	<b>645,478</b>	<b>635,478</b>	<b>(10,000)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>1,108,417</b>	<b>1,290,546</b>	<b>1,283,771</b>	<b>(6,775)</b>
<b>Full Time Equivalents</b>	<b>5,347</b>	<b>5,418</b>	<b>5,484</b>	<b>66</b>

### District Operations Mission Statement

The funds from the Immigration Examinations Fee Account, District Operations Expenses, is the primary funding source and program supporting the USCIS mission.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	429,149	489,672	492,120	2,448
11.3 Other than full-time permanent	2,871	2,780	2,794	14
11.5 Other personnel compensation	208	-	-	-
11.6 Pay Diff (Sun/Night)	2,794	1,762	1,771	9
11.7 Military personnel/Awards	6,305	4,824	4,848	24
12.1 Benefits	127,981	146,030	146,760	730
<b>Total, Salaries &amp; Benefits</b>	<b>569,308</b>	<b>645,068</b>	<b>648,293</b>	<b>3,225</b>

Salaries and Benefits include cost for 5,484 full-time equivalent employees. The FY 2013 request reflects an increase of \$3.225 million for inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$50,600	\$52,434	\$54,150	\$1,716

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. The FY 2013 request reflects an anticipated increase of \$1.716 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$315,371	\$381,401	\$374,685	-\$6,716

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$6.716 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
41.0 Grants/Subsidies/Contributions	0	\$5,000	0	-\$5,000

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. In FY 2013, funding for Immigrant Integration grants is being requested in the Salaries and Expenses account.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Adjudication Services: Service Center Operations  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	157,237	176,422	177,304	882
11.3 Other than full-time permanent	579	1,310	1,316	7
11.5 Other personnel compensation	133	-	-	-
11.6 Pay Diff (Sun/Night)	5,666	668	671	3
11.7 Military personnel/Awards	2,618	1,696	1,704	8
12.1 Benefits	49,648	55,706	55,984	279
<b>Total, Personnel and Compensation Benefits</b>	<b>215,882</b>	<b>235,801</b>	<b>236,980</b>	<b>1,179</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,453	1,542	1,542	-
22.0 Transportation of things	1,828	1,940	1,940	-
23.1 GSA rent	50,673	52,561	54,281	1,720
23.2 Other rent	63	67	67	-
23.3 Communications, utilities, and misc. charges	17,745	18,835	18,835	-
24.0 Printing	585	621	621	-
25.1 Advisory and assistance services	79,553	84,436	82,716	(1,720)
25.2 Other services	791	839	839	-
25.3 Purchases from Gov't accts.	74,968	79,570	79,570	-
25.7 Operation and maintenance of equipment	1,230	1,305	1,305	-
25.8 Subsistence & Support of persons	48	51	51	-
26.0 Supplies and materials	21,275	22,581	22,581	-
31.0 Equipment	3,791	4,023	4,023	-
32.0 Land & structures	1,957	2,077	2,077	-
42.0 Insurance Claims and Indemnity	49	52	52	-
<b>Total, Other Object Classes</b>	<b>256,007</b>	<b>270,499</b>	<b>270,499</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>471,888</b>	<b>506,300</b>	<b>507,479</b>	<b>1,179</b>
<b>Full Time Equivalents</b>	<b>2,174</b>	<b>2,223</b>	<b>2,228</b>	<b>5</b>

**Service Center Operations Mission Statement**

Service Center Operations (SCOPS) is one of the key operational components of USCIS. SCOPS is a strong and vital partner in the development of immigration policies and programs to ensure improved customer service while delivering the right benefit, to the right person, without delay.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	157,237	176,422	177,304	882
11.3 Other than full-time permanent	579	1,310	1,316	7
11.5 Other personnel compensation	133	-	-	-
11.6 Pay Diff (Sun/Night)	5,666	668	671	3
11.7 Military personnel/Awards	2,618	1,696	1,704	8
12.1 Benefits	49,648	55,706	55,984	279
<b>Total, Salaries &amp; Benefits</b>	<b>215,882</b>	<b>235,801</b>	<b>236,980</b>	<b>1,179</b>

Salaries and Benefits include costs for 2,228 full-time equivalent employees. The FY 2013 request reflects an increase of \$1.179 million for inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$50,673	\$52,561	\$54,281	\$1,720

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. The FY 2013 request reflects an anticipated increase of \$1.72 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$79,553	\$84,436	\$82,716	-\$1,720

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a decrease of \$1.72 million.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Adjudication Services: Refugee, Asylum, and International Operations  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	40,708	63,789	64,108	319
11.3 Other than full-time permanent	691	1,368	1,375	7
11.5 Other personnel compensation	913	-	-	-
11.6 Pay Diff (Sun/Night)	518	190	191	-
11.7 Military personnel/Awards	1,158	636	639	3
11.8 Special Service Pay	10	-	-	-
12.1 Benefits	15,982	25,043	25,168	125
13.0 Unemployment Compensation	105	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>60,085</b>	<b>91,026</b>	<b>91,481</b>	<b>455</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	10,007	6,285	6,285	-
22.0 Transportation of things	2,160	1,357	1,357	-
23.1 GSA rent	2,943	5,160	5,329	169
23.2 Other rent	3,926	2,466	2,466	-
23.3 Communications, utilities, and misc. charges	515	324	324	-
24.0 Printing	10	6	6	-
25.1 Advisory and assistance services	5,374	49,967	49,798	(169)
25.2 Other services	36,862	23,153	23,153	-
25.3 Purchases from Gov't accts.	4,448	2,794	2,794	-
25.7 Operation and maintenance of equipment	5,082	3,192	3,192	-
25.8 Subsistence & Support of persons	5	3	3	-
26.0 Supplies and materials	759	477	477	-
31.0 Equipment	1,792	1,125	1,125	-
32.0 Land & structures	907	570	570	-
41.0 Grants/Subsidies/Contributions	24	7,915	7,915	-
<b>Total, Other Object Classes</b>	<b>74,814</b>	<b>104,793</b>	<b>104,793</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>134,899</b>	<b>195,819</b>	<b>196,274</b>	<b>455</b>
<b>Full Time Equivalents</b>	<b>444</b>	<b>667</b>	<b>742</b>	<b>75</b>

**Refugee, Asylum, and International Operations Mission Statement**

The Refugee, Asylum, and International Operations Directorate (RAIO) is responsible for overseeing, planning, and implementing policies and activities related to asylum and refugee issues as well as immigration services overseas. RAIO offices play a critical role in extending citizenship and immigration benefits to eligible individuals, exercising vigilance in matters involving fraud detection and national security, sustaining effective intergovernmental liaisons, and advancing USCIS strategic priorities in the international arena.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	40,708	63,789	64,108	319
11.3 Other than full-time permanent	691	1,368	1,375	7
11.5 Other personnel compensation	913	-	-	-
11.6 Pay Diff (Sun/Night)	518	190	191	-
11.7 Military personnel/Awards	1,158	636	639	3
11.8 Special Service Pay	10	-	-	-
12.1 Benefits	15,982	25,043	25,168	125
13.0 Unemployment Compensation	105	-	-	-
<b>Total, Salaries &amp; Benefits</b>	<b>60,085</b>	<b>91,026</b>	<b>91,481</b>	<b>455</b>

Salaries and Benefits includes costs for 742 full-time equivalent employees. The FY 2013 request reflects an increase of \$455,000 for inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$2,943	\$5,160	\$5,329	\$169

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. The FY 2013 request reflects an anticipated increase of \$169,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$5,374	\$49,967	\$49,798	-\$169

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$169,000.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Adjudication Services: Records Operations  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	17,429	21,032	21,137	105
11.3 Other than full-time permanent	141	700	704	4
11.5 Other personnel compensation	49	-	-	-
11.6 Pay Diff (Sun/Night)	372	509	511	3
11.7 Military personnel/Awards	261	193	194	-
12.1 Benefits	5,081	6,132	6,163	31
<b>Total, Personnel and Compensation Benefits</b>	<b>23,333</b>	<b>28,566</b>	<b>28,709</b>	<b>143</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	202	108	108	-
22.0 Transportation of things	15	8	8	-
23.1 GSA rent	3,388	3,508	3,623	115
23.3 Communications, utilities, and misc. charges	4,995	2,661	2,661	-
24.0 Printing	2,626	1,399	1,399	-
25.1 Advisory and assistance services	37,592	42,384	42,269	(115)
25.2 Other services	116	62	62	-
25.3 Purchases from Gov't accts.	9,341	4,977	4,977	-
25.4 O&M of facilities	2	1	1	-
25.7 Operation and maintenance of equipment	3,637	1,938	1,938	-
26.0 Supplies and materials	398	212	212	-
31.0 Equipment	1,515	807	807	-
<b>Total, Other Object Classes</b>	<b>63,827</b>	<b>58,065</b>	<b>58,065</b>	-
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>87,160</b>	<b>86,631</b>	<b>86,774</b>	<b>143</b>
<b>Full Time Equivalents</b>	<b>265</b>	<b>303</b>	<b>319</b>	<b>16</b>

**Records Operations Mission Statement**

Records Operations maintains and provides timely access to paper and electronic immigration records and information for our customers in the benefit and enforcement communities.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	17,429	21,032	21,137	105
11.3 Other than full-time permanent	141	700	704	4
11.5 Other personnel compensation	49	-	-	-
11.6 Pay Diff (Sun/Night)	372	509	511	3
11.7 Military personnel/Awards	261	193	194	-
12.1 Benefits	5,081	6,132	6,163	31
<b>Total, Salaries &amp; Benefits</b>	<b>23,333</b>	<b>28,566</b>	<b>28,709</b>	<b>143</b>

Salaries and Benefits includes costs for 319 full-time equivalent employees. The FY 2013 request reflects an increase of \$143,000 for inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$3,388	\$3,508	\$3,623	\$115

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. The FY 2013 request reflects an anticipated increase of \$115,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$37,592	\$42,384	\$42,269	-\$115

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$115,000.



**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Adjudication Services: Business Transformation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	281	802	628	(175)
22.0 Transportation of things	95	271	212	(59)
23.2 Other rent	94	268	210	(58)
23.3 Communications, utilities, and misc. charges	105	300	235	(65)
25.1 Advisory and assistance services	198,132	227,299	177,857	(49,442)
25.2 Other services	169	483	378	(105)
25.3 Purchases from Gov't accts.	10,492	29,977	23,457	(6,521)
25.7 Operation and maintenance of equipment	1,866	5,332	4,172	(1,160)
25.8 Subsistence & Support of persons	7,843	22,407	17,533	(4,874)
26.0 Supplies and materials	138	393	308	(86)
31.0 Equipment	19,783	56,522	44,228	(12,295)
<b>Total, Other Object Classes</b>	<b>238,998</b>	<b>344,055</b>	<b>269,216</b>	<b>(74,839)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>238,998</b>	<b>344,055</b>	<b>269,216</b>	<b>(74,839)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Business Transformation Mission Statement**

USCIS Office of Transformation Coordination mission is to lead, manage, and facilitate a comprehensive transformation of people, processes, and technologies that will enhance national security, promote operational excellence, and provide superior customer service to those seeking immigration benefits.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$281</b>	<b>\$802</b>	<b>\$628</b>	<b>-\$175</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects an anticipated decrease of \$175,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	\$95	\$271	\$212	-\$59

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things. The FY 2013 request reflects an anticipated decrease of \$59,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	\$94	\$268	\$210	-\$58

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 request reflects an anticipated decrease of \$58,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	\$105	\$300	\$235	-\$65

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects an anticipated decrease of \$65,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	\$198,132	\$227,299	\$177,857	-\$49,442

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$49.442 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	\$169	\$483	\$378	-\$105

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects an anticipated decrease of \$105,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	\$10,492	\$29,977	\$23,457	-\$6,521

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects an anticipated decrease of \$6.521 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$1,866	\$5,332	\$4,172	-\$1,160

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects an anticipated decrease of \$1.160 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.8 Subsistence &amp; Support of persons</b>	\$7,843	\$22,407	\$17,533	-\$4,874

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal Government account for the board, lodging, and care of persons, including prisoners. The FY 2013 request reflects an anticipated decrease of \$4.874 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$138	\$393	\$308	-\$86

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within 1 year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three listed criteria, at the option of the agency. The FY 2013 request reflects an anticipated decrease of \$86,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$19,783	\$56,522	\$44,228	-\$12,295

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects an anticipated decrease of \$12.295 million.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Information and Customer Services  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	15,909	18,136	18,227	91
11.3 Other than full-time permanent	80	-	-	-
11.5 Other personnel compensation	315	-	-	-
11.6 Pay Diff (Sun/Night)	-	62	63	-
11.7 Military personnel/Awards	-	165	166	-
12.1 Benefits	4,878	5,561	5,589	28
<b>Total, Personnel and Compensation Benefits</b>	<b>21,182</b>	<b>23,925</b>	<b>24,045</b>	<b>120</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	764	535	535	-
22.0 Transportation of things	141	99	99	-
23.1 GSA rent	2,312	2,431	2,511	80
23.3 Communications, utilities, and misc. charges	1,782	1,248	1,248	-
24.0 Printing	1,436	1,006	1,006	-
25.1 Advisory and assistance services	35,108	55,741	55,661	(80)
25.2 Other services	498	349	349	-
25.3 Purchases from Gov't accts.	3,136	2,197	2,197	-
25.7 Operation and maintenance of equipment	84	59	59	-
25.8 Subsistence & Support of persons	(7)	(5)	(5)	-
26.0 Supplies and materials	748	524	524	-
31.0 Equipment	1,110	778	778	-
32.0 Land & structures	2	1	1	-
42.0 Insurance Claims and Indemnity	3	2	2	-
<b>Total, Other Object Classes</b>	<b>47,117</b>	<b>64,966</b>	<b>64,966</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>68,299</b>	<b>88,891</b>	<b>89,011</b>	<b>120</b>
<b>Full Time Equivalents</b>	<b>228</b>	<b>234</b>	<b>234</b>	<b>-</b>

**Information Services Mission Statement**

The funds from the Immigration Examinations Fee Account, Information and Customer Services Program, are used to provide timely, consistent, and accurate information to its customers and reduce the frequency of repeated, redundant applicant contact with USCIS employees, thus improving agency efficiency. Through multiple channels of available assistance, including the USCIS website, toll-free call center (National Customer Service Call Center), and face-to-face appointments; USCIS will make it easier for our customers to get the information they need, when they need it.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	15,909	18,136	18,227	91
11.3 Other than full-time permanent	80	-	-	-
11.5 Other personnel compensation	315	-	-	-
11.6 Pay Diff (Sun/Night)	-	62	63	-
11.7 Military personnel/Awards	-	165	166	-
12.1 Benefits	4,878	5,561	5,589	28
<b>Total, Salaries &amp; Benefits</b>	<b>21,182</b>	<b>23,925</b>	<b>24,045</b>	<b>120</b>

Salaries and Benefits includes costs for 234 full-time equivalent employees. The FY 2013 request reflects an increase of \$120,000 for inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$2,312	\$2,431	\$2,511	\$80

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. FY 2013 reflects an anticipated increase of \$80,000 in GSA rent.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$35,108	\$55,741	\$55,661	-\$80

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$80,000.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
Administration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	86,828	98,908	99,403	495
11.3 Other than full-time permanent	1,877	70	70	-
11.5 Other personnel compensation	2,328	616	619	3
11.6 Pay Diff (Sun/Night)	-	253	254	1
11.7 Military personnel/Awards	-	1,062	1,068	5
12.1 Benefits	27,907	31,790	31,949	159
13.0 Unemployment Compensation	886	958	963	5
<b>Total, Personnel and Compensation Benefits</b>	<b>119,826</b>	<b>133,658</b>	<b>134,326</b>	<b>668</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	4,923	3,920	3,920	-
22.0 Transportation of things	4,790	3,814	3,814	-
23.1 GSA rent	91,704	92,884	95,924	3,040
23.2 Other rent	792	631	631	-
23.3 Communications, utilities, and misc. charges	8,019	6,386	6,386	-
24.0 Printing	632	503	503	-
25.1 Advisory and assistance services	26,102	63,146	60,106	(3,040)
25.2 Other services	5,628	4,481	4,481	-
25.3 Purchases from Gov't accts.	62,621	49,867	49,867	-
25.4 O&M of facilities	5	4	4	-
25.7 Operation and maintenance of equipment	271	216	216	-
25.8 Subsistence & Support of persons	36	28	28	-
26.0 Supplies and materials	1,396	1,112	1,112	-
31.0 Equipment	5,728	4,561	4,561	-
32.0 Land & structures	19,638	15,638	15,638	-
42.0 Insurance Claims and Indemnity	1,023	815	815	-
<b>Total, Other Object Classes</b>	<b>233,308</b>	<b>248,008</b>	<b>248,008</b>	<b>-</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>353,134</b>	<b>381,666</b>	<b>382,334</b>	<b>668</b>
<b>Full Time Equivalents</b>	<b>866</b>	<b>910</b>	<b>910</b>	<b>-</b>

**Operating Expenses Mission Statement**

The funds from the Immigration Examinations Fee Account, Administration Program, fund USCIS Headquarters operations to support and guide USCIS offices around the world. These offices include the Office of the Director, Administration, Budget, Financial Management, Chief Counsel, Citizenship, Communications, Congressional Relations, Contracting, Policy and Strategy, Equal Opportunity and Inclusion, Chief Human Capital, and Security and Investigations.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	86,828	98,908	99,403	495
11.3 Other than full-time permanent	1,877	70	70	-
11.5 Other personnel compensation	2,328	616	619	3
11.6 Pay Diff (Sun/Night)	-	253	254	1
11.7 Military personnel/Awards	-	1,062	1,068	5
12.1 Benefits	27,907	31,790	31,949	159
13.0 Unemployment Compensation	886	958	963	5
<b>Total, Salaries &amp; Benefits</b>	<b>119,826</b>	<b>133,658</b>	<b>134,326</b>	<b>668</b>

Salaries and Benefits includes costs for 910 full-time equivalent employees. The FY 2013 request reflects an increase of \$668,000 for inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$91,704	\$92,884	\$95,924	\$3,040

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. FY 2013 reflects an anticipated increase in GSA rent of \$3.04 million.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$26,102	\$63,146	\$60,106	-\$3,040

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects an anticipated decrease of \$3.04 million.

**Department of Homeland Security  
Citizenship & Immigration Services  
Immigration Examinations Fee Account:  
SAVE  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	10,267	11,791	-	(11,791)
11.3 Other than full-time permanent	171	206	-	(206)
11.5 Other personnel compensation	146	40	-	(40)
11.7 Military personnel/Awards	-	98	-	(98)
12.1 Benefits	3,144	3,611	-	(3,611)
<b>Total, Personnel and Compensation Benefits</b>	<b>13,728</b>	<b>15,746</b>	-	<b>(15,746)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	73	73	-	(73)
22.0 Transportation of things	2	2	-	(2)
23.1 GSA rent	938	938	-	(938)
23.3 Communications, utilities, and misc. charges	191	191	-	(191)
24.0 Printing	10	10	-	(10)
25.1 Advisory and assistance services	147	200	-	(200)
25.2 Other services	66	80	-	(80)
25.3 Purchases from Gov't accts.	1,511	1,800	-	(1,800)
25.7 Operation and maintenance of equipment	-	10,841	-	(10,841)
26.0 Supplies and materials	20	20	-	(20)
31.0 Equipment	36	36	-	(36)
<b>Total, Other Object Classes</b>	<b>2,994</b>	<b>14,191</b>	-	<b>(14,191)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>16,722</b>	<b>29,937</b>	-	<b>(29,937)</b>
<b>Full Time Equivalents</b>	<b>155</b>	<b>178</b>	-	<b>(178)</b>

**SAVE Mission Statement**

This program funds the operations of the Systematic Alien Verification for Entitlements (SAVE) Program. SAVE is an intergovernmental information-sharing program that verifies an individual's immigration status to help ensure that only those eligible receive Federal, State, or local public benefits.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	10,267	11,791	-	(11,791)
11.3 Other than full-time permanent	171	206	-	(206)
11.5 Other personnel compensation	146	40	-	(40)
11.7 Military personnel/Awards	-	98	-	(98)
12.1 Benefits	3,144	3,611	-	(3,611)
<b>Total, Salaries &amp; Benefits</b>	<b>13,728</b>	<b>15,746</b>	<b>-</b>	<b>(15,746)</b>

The FY 2013 request reflects a decrease of \$15.746 million for Salaries and Benefits. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$73	\$73	0	-\$73

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request reflects a decrease of \$73,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
22.0 Transportation of things	\$2	\$2	0	-\$2

Transportation of things includes all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things. The FY 2013 request reflects a decrease of \$2,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$938	\$938	0	-\$938

General Services Administration (GSA) rent includes all payments to GSA for rental of space and rent-related services. The FY 2013 request reflects a decrease of \$938,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$191	\$191	0	-\$191

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request reflects a decrease of \$191,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$10	\$10	0	-\$10

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request reflects a decrease of \$10,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$147	\$200	0	-\$200

Advisory and assistance services include services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request reflects a decrease of \$200,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$66	\$80	0	-\$80

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request reflects a decrease of \$80,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$1,511	\$1,800	0	-\$1,800

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request reflects a decrease of \$1.8 million. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	\$10,841	0	-\$10,841

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request reflects a decrease of \$10.841 million. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$20	\$20	0	-\$20

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within 1 year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three listed criteria, at the option of the agency. The FY 2013 request reflects a decrease of \$20,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$36	\$36	0	-\$36

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request reflects a decrease of \$36,000. Funding for SAVE is being requested through the Salaries and Expenses Account.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>9,420</b>	<b>9,479</b>	<b>9,933</b>
<b>Increases</b>			
Annualization of authorized FTE level	59	454	176
<b>Subtotal, Increases</b>	<b>59</b>	<b>454</b>	<b>176</b>
<b>Decreases</b>			
Systematic Alien Verification Entitlements transferred to Salaries and Expenses	-	-	(186)
Office of Citizenship transferred to Salaries and Expenses	-	-	(6)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(192)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>9,479</b>	<b>9,933</b>	<b>9,917</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>59</b>	<b>454</b>	<b>(16)</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
District Operations	\$8,826	\$11,592	\$27,766	\$16,174
Information Services	3,863	5,075	5,103	28
Operating Expenses	4,547	5,973	6,006	33
Service Center Operations	8,736	11,475	11,539	64
Asylum, Refugee and International Operations	1,320	1,734	1,743	9
SAVE	560	541	0	-541
<b>Total Working Capital Fund</b>	<b>27,852</b>	<b>36,390</b>	<b>52,157</b>	<b>15,767</b>

## **K. DHS Balanced Workforce Strategy**

In order to establish a high performing workforce comprised of a strong internal core of federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with federal employees to better realize the full potential of our total workforce – both contracted and federal. A strong internal core of federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Accountant	7	5.19	7	5.19	-	1.81	-	-	-	-	7	7
Administrative Assistant	-	-	-	-	-	-	8	4	-	-	8	4
Budget Analyst	2	0.1	2	0.1	-	1.5	-	-	-	-	2	1.6
Business Operations Specialist	20	12.6	20	12.6	-	7.15	-	-	-	-	20	19.75
Contract Specialist	6	5.2	6	5.2	-	0.55	-	-	-	-	6	5.75
Equal Employment Specialist	3	2.92	3	2.92	-	0.88	-	-	-	-	3	3
Financial Program/Cost Analyst	7	4.44	7	4.44	-	0.94	-	-	-	-	7	5.38
Human Resources Assistant	10	7.08	10	7.08	-	2.42	-	-	-	-	10	9.5
Human Resources Specialist	2	1.28	2	1.28	-	0.72	-	-	-	-	2	2
Immigration Officer (FDNS)	81	63.22	81	63.22	-	15.53	-	-	-	-	81	78.75
Instructional System Specialist	2	1.32	2	1.32	-	0.68	-	-	-	-	2	2
IT Specialist	84	11.14	84	11.84	-	62.11	4	2	-	-	88	72.25
Lead HR Assistant	1	1	1	1	-	-	-	-	-	-	1	1
Librarian	1	1	1	1	-	-	-	-	-	-	1	1
Logistic Management Specialist	2	2	2	2	-	-	-	-	-	-	2	2
Management & Program Analyst	142	70.96	142	70.96	-	57.29	13	6.5	-	-	155	134.75
Mission Support Assistant	8	4.15	8	4.15	-	2.85	-	-	-	-	8	7
Mission Support Specialist	10	6.61	10	6.61	-	3.14	-	-	-	-	10	9.75
Office Automation Assistant	1	0.04	1	0.04	-	0.96	-	-	-	-	1	1
Operations Support Assistant	3	2.66	3	2.66	-	0.34	-	-	-	-	3	3
Operations Support Specialist	3	2.46	3	2.46	-	0.54	-	-	-	-	3	3
Security Specialist	23	20.66	23	20.66	-	2.34	-	-	-	-	23	23

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		TOTAL FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Secretary	2	0.78	2	0.78	-	0.22	-	-	-	-	2	1
Space Management Specialist	7	6.92	7	6.92	-	0.08	-	-	-	-	7	7
Special Assistant	3	2.12	3	2.12	-	0.88	-	-	-	-	3	3
Staff Assistant	11	4.7	11	4.7	-	5.05	16	8	-	-	27	17.75
Supervisory Management & Program Analyst	6	0.72	6	0.72	-	4.28	-	-	-	-	6	5
Transportation Assistant	2	0	2	0	-	1.5	-	-	-	-	2	1.5
<b>Total</b>	<b>449</b>	<b>241.17</b>	<b>449</b>	<b>241.17</b>	<b>0</b>	<b>173.06</b>	<b>41</b>	<b>20.5</b>	<b>0</b>	<b>0</b>	<b>490</b>	<b>434.73</b>



# Department of Homeland Security

*U.S. Citizenship & Immigration Services  
H-1B Nonimmigrant Petitioner Account*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Citizenship & Immigration Services H-1B Nonimmigrant Petitioner Account**

#### **I. Appropriation Overview**

##### **A. Mission Statement for H-1B Nonimmigrant Petitioner Account:**

The *H-1B Visa Reform Act of 2004* requires employers who participate in the H-1B Program to pay an additional \$1,500 (\$750 for those petitioners who employ less than 25 full-time equivalent employees), in addition to the base-processing fee of \$325 to file a Petition for a Nonimmigrant Worker (Form I-129). United States Citizenship and Immigration Service (USCIS) receives 5 percent of these funds, as well as the entire base-processing fee. However, this account only includes funding associated with the fee stipulated in the *H-1B Visa Reform Act of 2004* and does not include funding associated with the base-processing fee. These funds comprise less than 1 percent of the total USCIS budget.

The *FY 2010 Emergency Supplemental Appropriation for Border Security Act (P.L. 111-230)* increased certain H-1B and L-1 application fees. This law requires an additional filing fee of \$2,000 for H-1B petitions, and \$2,250 for certain L-1 petitions where the petitioner employs 50 or more individuals in the United States and more than 50 percent of its employees are in H-1B or L-1 nonimmigrant status. Revenue from fees above base levels (i.e., the \$500 or \$150 fees) is deposited into the General Fund of the Treasury, not the H-1B Nonimmigrant Petitioner or Fraud Prevention and Detection Accounts.

##### **B. Budget Activities:**

Funding from the H-1B Nonimmigrant Petitioner Account primarily supports the Service Center Operations Directorate. Fee revenues primarily fund contract activities (mail, filing, biometric, and data entry) and facility rent expenses related to the processing of immigration benefit applications at USCIS Service Centers.

The Service Center Operations Directorate manages four regionally based Service Centers, which receive, process, and adjudicate applications, petitions, and related fees for immigration benefits not requiring face-to-face contact with the applicant, petitioner, or beneficiary.

##### **C. Budget Request Summary:**

USCIS requests \$12.55 million in Fiscal Year 2013 for the H-1B Nonimmigrant Petitioner Account. These funds will continue to support contract activities and facility rent expenses for the processing of immigration benefit applications.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security**  
**Citizenship & Immigration Services**  
**H-1B Nonimmigrant Petitioner Account**  
 Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
 (Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
H-1B Nonimmigrant Petitioner Account	-	-	11,000	-	-	13,000	-	-	12,550	-	-	(450)	-	-	-	-	-	(450)
Adjudication Services	-	-	11,000	-	-	13,000	-	-	12,550	-	-	(450)	-	-	-	-	-	(450)
<b>Subtotal, Mandatory</b>	-	-	<b>11,000</b>	-	-	<b>13,000</b>	-	-	<b>12,550</b>	-	-	<b>(450)</b>	-	-	-	-	-	<b>(450)</b>
<b>Total, H1-B Visa Fee Account:</b>	-	-	<b>11,000</b>	-	-	<b>13,000</b>	-	-	<b>12,550</b>	-	-	<b>(450)</b>	-	-	-	-	-	<b>(450)</b>
Subtotal, Enacted Appropriations and Budget Estimates	-	-	11,000	-	-	13,000	-	-	12,550	-	-	(450)	-	-	-	-	-	(450)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>11,000</b>	-	-	<b>13,000</b>	-	-	<b>12,550</b>	-	-	<b>(450)</b>	-	-	-	-	-	<b>(450)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Citizenship & Immigration Services  
H-1B Nonimmigrant Petitioner Account  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: H-1B Nonimmigrant Petitioner Account**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>11,000</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>13,000</b>
2013 Adjustments-to-Base	-	-	(450)
<b>2013 Current Services</b>	-	-	<b>12,550</b>
<b>2013 Total Requested Budget Authority</b>	-	-	<b>12,550</b>
Total Change 2012 to 2013	-	-	(450)

U.S. Citizenship and Immigration Service (USCIS) requests \$12.55 million for contract activities and facility rent expenses that support the processing of immigration benefit applications. The fee associated with the requested amount is set by congressional statute providing USCIS with 5 percent of the fees collected for the H-1B visas (Nonimmigrant Petitioner), in addition to the base-processing fee to file a Petition for a Nonimmigrant Worker (Form I-129).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The USCIS Service Center Operations Directorate receives, processes, and adjudicates applications, petitions, and related fees for immigration benefits not requiring face-to-face contact with the applicant, petitioner, or beneficiary, which includes:

- *Family-based petitions* -- facilitating the process for close relatives to immigrate, gain permanent residency, work, etc.
- *Employment-based petitions* -- facilitating the process for current and prospective employees to immigrate or stay in the United States temporarily.

USCIS annually processes millions of immigration benefit applications at its Service Centers. The \$12.55 million for contract activities and facility rent expenses is a portion of the total operations contract support and Service Center rent. The balance is covered by fees from the Immigration Examinations Fee Account.

#### **IV. Program Justification Changes**

N/A

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Citizenship & Immigration Services  
H-1B Nonimmigrant Petitioner Account  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	11,000
FY 2012 Enacted Budget Authority	-	-	13,000
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Decreases	-	-	-
Technical Adjustment	-	-	(450)
Total, Decreases	-	-	(450)
Total, Adjustments-to-Base	-	-	(450)
 FY 2013 Current Services	 -	 -	 12,550
Program Changes	-	-	-
Total, Program Changes	-	-	-
 FY 2013 Requested Budget Authority	 -	 -	 12,550
 FY 2012 to FY 2013 Total Change	 -	 -	 (450)



## C. Summary of Requirements

**Department of Homeland Security  
Citizenship & Immigration Services  
H-1B Nonimmigrant Petitioner Account**  
Summary of Requirements  
(Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	11,000
FY 2012 Enacted Budget Authority	-	-	13,000
Adjustments-to-Base	-	-	-
Decreases	-	-	(450)
<b>Total, Adjustments-to-Base</b>	-	-	<b>(450)</b>
FY 2013 Current Services	-	-	12,550
Program Changes	-	-	-
<b>Total, Program Changes</b>	-	-	-
FY 2013 Requested Budget Authority	-	-	12,550
FY 2012 to FY 2013 Total Change	-	-	(450)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
H-1B Nonimmigrant Petitioner Account	-	-	13,000	-	-	(450)	-	-	-	-	-	12,550	-	-	(450)
Adjudication Services	-	-	13,000	-	-	(450)	-	-	-	-	-	12,550	-	-	(450)
<b>Total</b>	-	-	<b>13,000</b>	-	-	<b>(450)</b>	-	-	-	-	-	<b>12,550</b>	-	-	<b>(450)</b>

## **D. Summary of Reimbursable Resources**

N/A

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Citizenship & Immigration Services  
H-1B Nonimmigrant Petitioner Account**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
23.1 GSA rent	-	2,000	2,000	-
25.1 Advisory and assistance services	11,000	11,000	10,550	(450)
<b>Total, Other Object Classes</b>	<b>11,000</b>	<b>13,000</b>	<b>12,550</b>	<b>(450)</b>
<b>Total, Direct Obligations</b>	<b>11,000</b>	<b>13,000</b>	<b>12,550</b>	<b>(450)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	5,774	5,774	5,774	-
Unobligated balance, start of year	(3,677)	(5,774)	(5,774)	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>2,097</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Requirements</b>	<b>13,097</b>	<b>13,000</b>	<b>12,550</b>	<b>(450)</b>
<b>Full Time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

N/A

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
Citizenship & Immigration Services  
H-1B Nonimmigrant Petitioner Account  
Adjudication Services  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
Personnel and Compensation Benefits	-	-	-	-
Other Object Classes	-	-	-	-
23.1 GSA rent	-	2,000	2,000	-
25.1 Advisory and assistance services	11,000	11,000	10,550	(450)
<b>Total, Other Object Classes</b>	<b>11,000</b>	<b>13,000</b>	<b>12,550</b>	<b>(450)</b>
Adjustments	-	-	-	-
Unobligated Balance, start of year	(3,677)	(5,774)	(5,774)	-
Unobligated Balance, end of year	5,774	5,774	5,774	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>2,097</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Requirements</b>	<b>13,097</b>	<b>13,000</b>	<b>12,550</b>	<b>(450)</b>
Full Time Equivalents	-	-	-	-

### Service Center Operations Mission Statement

The funds from the H-1B Nonimmigrant Petitioner Account, comprising less than 1 percent of the total U.S. Citizenship and Immigration Service (USCIS) budget request, are specifically targeted to contracting activities and facility rent expenses related to processing immigration benefit applications. These funds are the result of the *H-1B Visa Reform Act of 2004*, which requires employers who participate in the H-1B Program to pay an additional \$1,500 (\$750 for those petitioners who employ less than 25 full-time equivalent employees), in addition to the base processing fee of \$325 to file a Petition for a Nonimmigrant Worker (Form I-129). USCIS receives 5 percent of these funds, as well as the entire base processing fee. However, this account only includes funding associated with the fee stipulated in the *H-1B Visa Reform Act of 2004* and does not include funding associated with the base-processing fee.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$11,000	\$11,000	\$10,550	-\$450

Advisory and assistance services include services acquired by contract from non-Federal sources (i.e., private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal government. This funding supports the anticipated needs for FY 2013. The decrease of \$450,000 reflects anticipated changes in receipts from FY 2012 to FY 2013.

|  
**I. Changes In Full Time Employment**

[N/A]

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A



## **K. DHS Balanced Workforce Strategy**

[N/A ]

# **Department of Homeland Security**

*U.S. Citizenship & Immigration Services  
Fraud Prevention and Detection Account*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **U.S. Citizenship & Immigration Services Fraud Prevention and Detection Account**

## **I. Appropriation Overview**

### **A. Mission Statement for Fraud Prevention and Detection Account:**

#### **Mission Statement**

Funding in the Fraud Prevention and Detection Account is used for activities related to preventing and detecting fraud for all immigration benefit types. The *Immigration and Nationality Act*, as amended, requires petitioners to pay \$500 toward this purpose for a beneficiary's initial grant of H-1B or L nonimmigrant classification, as well as if they are changing a beneficiary's employer within these classifications; and to pay \$150 for H-2B benefits in addition to the base-processing fee for a Petition for a Nonimmigrant Worker (Form I-129). U.S. Citizenship and Immigration Service (USCIS) receives a one-third share of revenue derived from these fees.

The *FY 2010 Emergency Supplemental Appropriation for Border Security Act (P.L. 111-230)* increased certain H-1B and L-1 application fees. This law requires an additional filing fee of \$2,000 for H-1B petitions, and \$2,250 for certain L-1 petitions where the petitioner employs 50 or more individuals in the United States and more than 50 percent of its employees are in H-1B or L-1 nonimmigrant status. Revenue from fees above base levels (i.e., the \$500 or \$150 fees) is deposited into the General Fund of the Treasury, not the Fraud Prevention and Detection Account.

### **B. Budget Activities:**

The Fraud Detection and National Security Directorate (FDNS) at USCIS develops, coordinates, and leads national anti-fraud operations for USCIS and oversees and enhances policies and procedures pertaining to the performance of law enforcement (background) checks on applicants and petitioners. In addition, FDNS identifies threats to national security and public safety as well as serving as a conduit for intelligence-related information between USCIS and the law enforcement and intelligence community.

### **C. Budget Request Summary:**

USCIS requests 185 positions, 185 full-time equivalent employees, and \$35 million to fund USCIS requirements for Fiscal Year 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account**  
Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Fraud Prevention and Detection Account	185	179	34,639	185	185	39,196	185	185	35,000	-	-	(4,196)	-	-	-	-	-	(4,196)
Adjudication Services	185	179	34,639	185	185	39,196	185	185	35,000	-	-	(4,196)	-	-	-	-	-	(4,196)
<b>Subtotal, Mandatory</b>	<b>185</b>	<b>179</b>	<b>34,639</b>	<b>185</b>	<b>185</b>	<b>39,196</b>	<b>185</b>	<b>185</b>	<b>35,000</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>
<b>Total, H1-B and L Fraud Prevention:</b>	<b>185</b>	<b>179</b>	<b>34,639</b>	<b>185</b>	<b>185</b>	<b>39,196</b>	<b>185</b>	<b>185</b>	<b>35,000</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>
Subtotal, Enacted Appropriations and Budget Estimates	185	179	34,639	185	185	39,196	185	185	35,000	-	-	(4,196)	-	-	-	-	-	(4,196)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>185</b>	<b>179</b>	<b>34,639</b>	<b>185</b>	<b>185</b>	<b>39,196</b>	<b>185</b>	<b>185</b>	<b>35,000</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Citizenship & Immigration Services**  
**Fraud Prevention and Detection Account**  
**Adjudication Services**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Adjudication Services**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>185</b>	<b>179</b>	<b>34,639</b>
<b>2012 Enacted Budget Authority</b>	<b>185</b>	<b>185</b>	<b>39,196</b>
2013 Adjustments-to-Base	-	-	(4,196)
<b>2013 Current Services</b>	<b>185</b>	<b>185</b>	<b>35,000</b>
<b>2013 Total Requested Budget Authority</b>	<b>185</b>	<b>185</b>	<b>35,000</b>
Total Change 2012 to 2013	-	-	(4,196)

**CURRENT SERVICES PROGRAM DESCRIPTION:**

U.S. Citizenship and Immigration Service (USCIS) requests 185 positions, 185 full-time equivalent employees, and \$35 million for this activity in Fiscal Year (FY) 2013.

As part of a joint anti-fraud strategy and in partnership with Immigration and Customs Enforcement, Fraud Detection and National Security Directorate (FDNS) identifies vulnerabilities in the Nation’s immigration system and works to eliminate the potential for exploitation of those vulnerabilities and prosecute the violators.

Operationally, FDNS officers located in field offices, service centers, and the National Benefits Center perform most anti-fraud activities. These officers perform site inspections, deconfliction and vetting activities, and coordinate with law enforcement agencies. Field FDNS officers participate in Document Benefit Fraud Task Forces, Joint Terrorism Task Forces, and other Federal and local law enforcement initiatives. In FY 2011, FDNS officers received more than 14,000 fraud leads, which resulted in more than 13,000 administrative investigations.

In FY 2011, FDNS continued its Administrative Site Visit and Verification Program (ASVVP). The ASVVP serves as a vehicle to conduct pre- and post-adjudication site inspections on religious worker and H-1B temporary worker petitions. The ASVVP detects fraud in individual petitions and applications, and produces data that are useful in determining fraud risks and patterns. In FY 2011 FDNS performed a total of 17,307 ASVVP site visits.

In FY 2011, FDNS had four officers (of which three are funded through this account) in overseas offices in order to enhance overseas verification efforts. Guided by future fraud risk assessments, FDNS will work in cooperation with the Refugee, Asylum, and International Operations Directorate to build its overseas capacity to cover more high-volume posts.

A total of 531 Immigration Officers, Intelligence Research Specialists, and support personnel in field offices and service centers perform FDNS operations.

#### **IV. Program Justification Changes**

N/A



## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

N/A

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>185</b>	<b>179</b>	<b>34,639</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>185</b>	<b>185</b>	<b>39,196</b>
<b>Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Transfers</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Increases</b>	<b>-</b>	<b>-</b>	<b>-</b>
2013 pay increase	<b>-</b>	<b>-</b>	<b>127</b>
<b>Total, Increases</b>	<b>-</b>	<b>-</b>	<b>127</b>
<b>Decreases</b>	<b>-</b>	<b>-</b>	<b>-</b>
Technical Adjustment	<b>-</b>	<b>-</b>	<b>(4,323)</b>
<b>Total, Decreases</b>	<b>-</b>	<b>-</b>	<b>(4,323)</b>
<b>Total, Adjustments-to-Base</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>
<b>FY 2013 Current Services</b>	<b>185</b>	<b>185</b>	<b>35,000</b>
<b>Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total, Program Changes</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>FY 2013 Requested Budget Authority</b>	<b>185</b>	<b>185</b>	<b>35,000</b>
<b>FY 2012 to FY 2013 Total Change</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>

## C. Summary of Requirements

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	185	179	34,639
<b>FY 2012 Enacted Budget Authority</b>	185	185	39,196
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	127
Decreases	-	-	(4,323)
<b>Total, Adjustments-to-Base</b>	-	-	(4,196)
<b>FY 2013 Current Services</b>	185	185	35,000
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	185	185	35,000
<b>FY 2012 to FY 2013 Total Change</b>	-	-	(4,196)

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Fraud Prevention and Detection Account	185	185	39,196	-	-	(4,196)	-	-	-	185	185	35,000	-	-	(4,196)
Adjudication Services	185	185	39,196	-	-	(4,196)	-	-	-	185	185	35,000	-	-	(4,196)
<b>Total</b>	<b>185</b>	<b>185</b>	<b>39,196</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>185</b>	<b>185</b>	<b>35,000</b>	<b>-</b>	<b>-</b>	<b>(4,196)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Collections by Source:												
<b>Total Budgetary Resources</b>	-	-	-	-	-	-	-	-	-	-	-	-

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Obligations by Program/Project Activity:												
<b>Total Obligations</b>	-	-	-	-	-	-	-	-	-	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	16,440	18,008	18,098	90
11.3 Other than full-time permanent	178	297	299	1
11.5 Other personnel compensation	1,242	1,761	1,770	9
12.1 Benefits	4,927	5,342	5,368	27
<b>Total, Personnel and Other Compensation Benefits</b>	<b>22,787</b>	<b>25,408</b>	<b>25,535</b>	<b>127</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,108	1,381	948	(433)
22.0 Transportation of things	96	359	247	(113)
23.1 GSA rent	1,936	2,147	2,147	-
23.2 Other rent	32	35	35	-
23.3 Communications, utilities, and misc. charges	132	322	221	(101)
25.1 Advisory and assistance services	6,583	7,305	4,331	(2,975)
25.2 Other services	737	819	562	(257)
25.3 Purchases from Gov't accts.	259	288	198	(90)
25.7 Operation and maintenance of equipment	16	18	12	(6)
25.8 Subsistence & Support of persons	514	572	392	(179)
26.0 Supplies and materials	254	321	220	(101)
31.0 Equipment	182	220	151	(69)
<b>Total, Other Object Classes</b>	<b>11,851</b>	<b>13,788</b>	<b>9,465</b>	<b>(4,323)</b>
<b>Total, Direct Obligations</b>	<b>34,639</b>	<b>39,196</b>	<b>35,000</b>	<b>(4,196)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,639</b>	<b>39,196</b>	<b>35,000</b>	<b>(4,196)</b>
<b>Full Time Equivalents</b>	<b>179</b>	<b>185</b>	<b>185</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
GS-15	7	7	7	-
GS-14	19	19	19	-
GS-13	77	77	77	-
GS-12	77	77	77	-
GS-11	1	1	1	-
GS-9	4	4	4	-
<b>Total Permanent Positions</b>	<b>185</b>	<b>185</b>	<b>185</b>	-
Unfilled Positions EOY	6	-	-	-
Total Permanent Employment EOY	(1)	(1)	(1)	-
Headquarters	10	10	10	-
U.S. Field	172	172	172	-
Foreign Field	3	3	3	-
<b>Total, H1-B and L Fraud Prevention:</b>	<b>185</b>	<b>185</b>	<b>185</b>	-
<b>Full Time Equivalents</b>	<b>179</b>	<b>185</b>	<b>185</b>	-
Average ES Salary	-	-	-	-
Average GS Salary	87,599	87,599	87,599	-
Average Grade	13	13	13	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
Citizenship & Immigration Services  
Fraud Prevention and Detection Account  
Adjudication Services  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	16,440	18,008	18,098	90
11.3 Other than full-time permanent	178	297	299	1
11.5 Other personnel compensation	1,242	1,761	1,770	9
12.1 Benefits	4,927	5,342	5,368	27
<b>Total, Personnel and Compensation Benefits</b>	<b>22,787</b>	<b>25,408</b>	<b>25,535</b>	<b>127</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,108	1,381	948	(433)
22.0 Transportation of things	96	359	247	(113)
23.1 GSA rent	1,936	2,147	2,147	-
23.2 Other rent	32	35	35	-
23.3 Communications, utilities, and misc. charges	132	322	221	(101)
25.1 Advisory and assistance services	6,583	7,305	4,331	(2,975)
25.2 Other services	737	819	562	(257)
25.3 Purchases from Gov't accts.	259	288	198	(90)
25.7 Operation and maintenance of equipment	16	18	12	(6)
25.8 Subsistence & Support of persons	514	572	392	(179)
26.0 Supplies and materials	254	321	220	(101)
31.0 Equipment	182	220	151	(69)
<b>Total, Other Object Classes</b>	<b>11,851</b>	<b>13,788</b>	<b>9,465</b>	<b>(4,323)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,639</b>	<b>39,196</b>	<b>35,000</b>	<b>(4,196)</b>
<b>Full Time Equivalents</b>	<b>179</b>	<b>185</b>	<b>185</b>	-

### Adjudication Services Mission Statement

The funds from the Fraud Prevention and Detection Account, comprising approximately 2 percent of the total U.S. Citizenship and Immigration Service (USCIS) budget request, primarily support the USCIS goal to ensure the security and integrity of the immigration system. These funds are specifically for activities related to preventing and detecting fraud for all immigration benefit types.



## Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	16,440	18,008	18,098	90
11.3 Other than full-time permanent	178	297	299	1
11.5 Other personnel compensation	1,242	1,761	1,770	9
12.1 Benefits	4,927	5,342	5,368	27
<b>Total, Salaries &amp; Benefits</b>	<b>22,787</b>	<b>25,408</b>	<b>25,535</b>	<b>127</b>

Salaries and Benefits include costs for 185 full time equivalent employees. This funding supports the anticipated resource needs for Fiscal Year (FY) 2013. The \$127,000 increase reflects the pay inflation.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$1,108</b>	<b>\$1,381</b>	<b>\$948</b>	<b>-\$433</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. This funding supports the anticipated resource needs for FY 2013. The decrease of \$433,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$96</b>	<b>\$359</b>	<b>\$247</b>	<b>-\$113</b>

Transportation of things include all costs of the care of such things while in the process of being transported, and other services incident to the transportation of things. This funding supports the anticipated resource needs for FY 2013. The decrease of \$113,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$132</b>	<b>\$322</b>	<b>\$221</b>	<b>-\$101</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services; postal services and rentals; and utility services. This funding supports the anticipated resource needs for FY 2013. The decrease of \$101,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$6,583</b>	<b>\$7,305</b>	<b>\$4,331</b>	<b>-\$2,975</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (i.e., private sector, foreign governments, State and local governments, Tribes, etc.) as well as from other units within the Federal government. This funding supports the anticipated resource needs for FY 2013. The decrease of \$2.975 million reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$737</b>	<b>\$819</b>	<b>\$562</b>	<b>-\$257</b>

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
--	-------------------------------	--	--	------------------------------

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. This funding supports the anticipated resource needs for FY 2013. The decrease of \$257,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	\$259	\$288	\$198	-\$90

Purchase from Government Accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. This funding supports the anticipated resource needs for FY 2013. The decrease of \$90,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$16	\$18	\$12	-\$6

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal government account. The decrease of \$6,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.8 Subsistence &amp; Support of persons</b>	\$514	\$572	\$392	-\$179

Subsistence and support of persons include costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. This funding supports the anticipated resource needs for FY 2013. The decrease of \$179,000 reflects the change in anticipated receipts from FY 2012 to FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$254	\$321	\$220	-\$101

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within 1 year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three listed criteria, at the option of the agency. The decrease of \$101,000 reflects the change in anticipated receipts from FY 2012 to FY 2013. This funding supports the anticipated resource needs for FY 2013.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$182	\$220	\$151	-\$69

Equipment includes all costs for the purchase of personal property of a durable nature or the initial installation of equipment when performed under contract. The decrease of \$69,000 reflects the change in anticipated receipts from FY 2012 to FY 2013. This funding supports the anticipated resource needs for FY 2013.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>179</b>	<b>179</b>	<b>185</b>
<b>Increases</b>			
Increase	-	6	-
<b>Subtotal, Increases</b>	<b>-</b>	<b>6</b>	<b>-</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>179</b>	<b>185</b>	<b>185</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>6</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

N/A

## **K. DHS Balanced Workforce Strategy**

N/A

**DEPARTMENT OF HOMELAND SECURITY**  
**Federal Law Enforcement Training Center**



Fiscal Year 2013  
Congressional Justification  
Overview

**i. Summary of FY Budget Estimates by Appropriation**

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Summary of FY 2013 Budget Estimates by Appropriation**

Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Salaries and Expenses:	1,130	1,099	236,475	1,130	1,103	238,957	1,130	1,103	228,939	-	-	(10,018)	-	-	-	-	-	(10,018)
Acquisition, Construction, Improvements & Related Expenses:	-	-	62,411	-	-	32,456	-	-	29,385	-	-	(3,071)	-	-	-	-	-	(3,071)
<b>Total, Federal Law Enforcement Training Center</b>	<b>1,130</b>	<b>1,099</b>	<b>298,886</b>	<b>1,130</b>	<b>1,103</b>	<b>271,413</b>	<b>1,130</b>	<b>1,103</b>	<b>258,324</b>	<b>-</b>	<b>-</b>	<b>(13,089)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(13,089)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>1,130</b>	<b>1,099</b>	<b>298,886</b>	<b>1,130</b>	<b>1,103</b>	<b>271,413</b>	<b>1,130</b>	<b>1,103</b>	<b>258,324</b>	<b>-</b>	<b>-</b>	<b>(13,089)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(13,089)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>1,130</b>	<b>1,099</b>	<b>298,886</b>	<b>1,130</b>	<b>1,103</b>	<b>271,413</b>	<b>1,130</b>	<b>1,103</b>	<b>258,324</b>	<b>-</b>	<b>-</b>	<b>(13,089)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(13,089)</b>



**ii. Homeland and Non-Homeland Allocation**

**Department of Homeland Security  
Federal Law Enforcement Training Center**  
Homeland and Non-Homeland Allocation by Program/Projects Activity  
(Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Salaries and Expenses:</b>	677	\$145,710	422	\$90,765	1,099	\$236,475	680	\$147,345	423	\$91,612	1,103	\$238,957	680	\$141,135	423	\$87,804	1,103	\$228,939
Management and Administration	-	-	-	-	-	-	-	-	-	-	-	-	139	18,142	85	11,119	224	29,261
Law Enforcement Training	677	145,710	415	89,306	1,092	235,016	680	147,345	416	90,308	1,096	237,653	541	122,993	331	75,382	872	198,375
Accreditation	-	-	7	1,459	7	1,459	-	-	7	1,304	7	1,304	-	-	7	1,303	7	1,303
<b>Acquisition, Construction, Improvements &amp; Related Expenses:</b>	-	38,695	-	23,716	-	62,411	-	20,123	-	12,333	-	32,456	-	18,219	-	11,166	-	29,385
<b>Total</b>	<b>677</b>	<b>184,405</b>	<b>422</b>	<b>114,481</b>	<b>1,099</b>	<b>298,886</b>	<b>680</b>	<b>167,468</b>	<b>423</b>	<b>103,945</b>	<b>1,103</b>	<b>271,413</b>	<b>680</b>	<b>159,354</b>	<b>423</b>	<b>98,970</b>	<b>1,103</b>	<b>258,324</b>

**iii. Status of Congressional Requested Studies, Reports, and Evaluations**

Not Applicable

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security  
Federal Law Enforcement Training Center**

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

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Request
	Fiscal Year	Amount	Amount	Amount
<b>Salaries and Expenses</b>	N/A	N/A	N/A	<b>\$228,939</b>
- Law Enforcement Training	N/A	N/A	N/A	198,375
- Management and Administration	N/A	N/A	N/A	29,261
- Accreditation	N/A	N/A	N/A	1,303
<b>Construction</b>	N/A	N/A	N/A	<b>29,385</b>
<b>Total Direct Authorization/Appropriation</b>				<b>\$258,324</b>

# **Department of Homeland Security**

*Federal Law Enforcement Training Center  
Salaries and Expenses*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Law Enforcement Training Center Salaries and Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and expenses:**

We train those who protect our homeland.

#### **B. Budget Activities:**

The Federal Law Enforcement Training Center (FLETC) is the Nation's largest provider of law enforcement training. FLETC serves as an interagency law enforcement training organization for 90 Federal Partner Organizations (POs) and numerous State, local, tribal, campus, and international law enforcement agencies.

Most of the 90 Federal POs that train with FLETC attend one of its multi-agency basic programs, and then continue with their unique agency-specific follow-on programs at their own academies, most of which are co-located at one of FLETC's four domestic training sites. In addition to basic training, FLETC also offers a variety of advanced law enforcement training programs.

FLETC has embraced the philosophy that homeland protection is not the sole province of the Federal Government, and that the security of our Nation starts in rural counties, small towns, and municipalities and extends even to our law enforcement colleagues abroad. FLETC offers specialized training programs for State, local, tribal, campus and, through partnership with the Department of State, international law enforcement personnel. These programs are designed to meet critical training needs and to enhance networking and cooperation domestically and globally.

In furtherance of FLETC's mission, our reach is extended through the use of non-traditional training delivery techniques, including the use of online training distribution and the use of technology-based simulation. Additionally, FLETC exports training programs to various locations when a geographical concentration of personnel is identified and the programs being conducted do not require the use of certain specialized facilities.

Training law enforcement officers in a collaborative, multi-agency environment offers both fiscal and qualitative advantages. FLETC teams with its training partners to jointly prepare Federal law enforcement professionals to perform their duties in the safest possible manner, at the highest possible level of proficiency. It endeavors to accomplish this critical mission by delivering consistent, accredited instruction using a proven consolidated training model.

**C. Budget Request Summary:**

FLETC requests 1,130 positions, 1,103 FTEs and \$228,939,000. The adjustments-to-base are an increase of \$472,000 for pay inflation, a reduction to Basic Training of \$3,660,000, and efficiency offsets of \$6,830,000. There are no program changes.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Federal Law Enforcement Training Center Salaries and Expenses:

Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Request  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Management and Administration	-	-	-	-	-	-	230	224	29,261	230	224	29,261	-	-	-	230	224	29,261
Law Enforcement Training	1,123	1,092	235,016	1,123	1,096	237,653	893	872	198,375	(230)	(224)	(39,278)	-	-	-	(230)	(224)	(39,278)
Accreditation	7	7	1,459	7	7	1,304	7	7	1,303	-	-	(1)	-	-	-	-	-	(1)
<b>Total, Salaries and Expenses:</b>	<b>1,130</b>	<b>1,099</b>	<b>236,475</b>	<b>1,130</b>	<b>1,103</b>	<b>238,957</b>	<b>1,130</b>	<b>1,103</b>	<b>228,939</b>	-	-	<b>(10,018)</b>	-	-	-	-	-	<b>(10,018)</b>
Subtotal, Enacted Appropriations and Budget Estimates	1,130	1,099	236,475	1,130	1,103	238,957	1,130	1,103	228,939	-	-	(10,018)	-	-	-	-	-	(10,018)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net, Enacted Appropriations and Budget Estimates:	1,130	1,099	236,475	1,130	1,103	238,957	1,130	1,103	228,939	-	-	(10,018)	-	-	-	-	-	(10,018)



### III. Current Services Program Description by PPA

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Management and Administration  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Management and Administration**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	-	-	-
<b>2012 Enacted</b>	-	-	-
2013 Adjustments-to-Base	230	224	29,261
<b>2013 Current Services</b>	<b>230</b>	<b>224</b>	<b>29,261</b>
<b>2013 Total Request</b>	<b>230</b>	<b>224</b>	<b>29,261</b>
Total Change 2012 to 2013	230	224	29,261

FLETC requests 230 positions, 224 FTEs, and \$29.261 million for this activity. This new Project Program Activity (PPA) is created by a transfer from the Law Enforcement Training PPA to break out management and administration functions. Included in this amount is:

- A transfer of \$29.716 million, 230 positions and 224 FTEs from the Law Enforcement Training PPA,
- An increase of \$0.098 million for pay inflation, and
- A decrease of (\$0.553) million for efficiency offsets for travel, overtime, purchasing savings, and PCS costs.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Management and Administration program includes the FLETC Director, Director’s Office, and immediate staff including the Office of Chief Counsel, Washington Office, Public Affairs Office, Equal Employment Opportunity Division, and Inspection and Compliance Division. Also included is the Chief Financial Officer Directorate, providing budget, finance, accounting, financial systems, financial statements, relocation, travel, and strategic planning functions.

The Management and Administration program also includes Asset Management functions, such as Procurement, Real and Personal Property Management, Environmental Compliance and Safety. It includes the Operation Support functions such as Human Capital and Critical Incident Stress Management to promote fairness, consistency, and efficiency in the utilization of staffing, scheduling, human capital and human resources.

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Law Enforcement Training  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Law Enforcement Training**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>1,123</b>	<b>1,092</b>	<b>235,016</b>
<b>2012 Enacted</b>	<b>1,123</b>	<b>1,096</b>	<b>237,653</b>
2013 Adjustments-to-Base	(230)	(224)	(39,278)
<b>2013 Current Services</b>	<b>893</b>	<b>872</b>	<b>198,375</b>
<b>2013 Total Request</b>	<b>893</b>	<b>872</b>	<b>198,375</b>
Total Change 2012 to 2013	(230)	(224)	(39,278)

FLETC requests 893 positions, 872 FTEs and \$198.375 million for this activity. Adjustments-to-base include:

- A transfer of \$29.716 million, 230 positions and 224 FTEs to the Management and Administration PPA,
- An increase of \$0.371 million for pay inflation,
- A decrease of (\$3.660) million to basic training, and
- A decrease of (\$6.273) million for efficiency offsets for travel, overtime, purchasing savings, and PCS costs.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Law Enforcement Training:** FLETC’s services to its three major client groups underscore its homeland security support mission in promoting intergovernmental cooperation in law enforcement preparedness.

**Federal** – FLETC provides law enforcement training to 90 federal agencies having law enforcement responsibilities. FLETC prepares new and experienced law enforcement professionals to fulfill their responsibilities in a safe manner and at the highest level of proficiency. The average basic student spends 12 weeks training at FLETC, and receives a combination of classroom instruction and hands-on practical exercise training in all phases of law enforcement from firearms and high-speed vehicle operations to legal case instructions and defendant interview techniques. Students must apply their classroom knowledge during exercises that simulate typical situations encountered on the job. To add realism these exercises often involve contract role players who act as victims, witnesses or suspects. Each of the basic

programs provides core knowledge essential for new federal officers or agents to carry out their duties in a safe and efficient manner.

In addition to basic training, FLETC offers advanced and specialized training for career-long law enforcement preparation in subjects that are common to two or more of its Partner Organizations. Examples include Antiterrorism Port Security Boat Operations, Cyber Counterterrorism Investigator Training, Covert Electronics Surveillance, Critical Infrastructure Protection, Financial Forensics Techniques, Intelligence Analysts Training and Land Transportation Antiterrorism Training.

***State and local*** – The National Center for State and Local Law Enforcement Training trains personnel from State and local law enforcement agencies in advanced topics designed to develop specialized law enforcement skills. The participants benefit from Federal expertise, specialized training, and receive instruction specific to their needs. Additionally, the program offerings are in subjects not generally available from State and local police academies or colleges and universities.

***International*** – In the interest of combating global crime and protecting U.S. interests abroad, FLETC offers a range of training programs to foreign law enforcement agencies in coordination with the Department of State. Training focuses on the U.S. Government's Law and Democracy Program and the International Law Enforcement Academy programs in Europe, Asia, Africa, and other regions in the world. In cooperation with the Department of State, FLETC manages an International Law Enforcement Academy in Gaborone, Botswana, and serves as Deputy Director at the International Law Enforcement Academy in Bangkok, Thailand. Additionally, FLETC provides training and technical assistance at locations worldwide in collaboration with and support of the respective U.S. embassies.

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Accreditation  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Accreditation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actuals</b>	<b>7</b>	<b>7</b>	<b>1,459</b>
<b>2012 Enacted</b>	<b>7</b>	<b>7</b>	<b>1,304</b>
2013 Adjustments-to-Base	-	-	(1)
<b>2013 Current Services</b>	<b>7</b>	<b>7</b>	<b>1,303</b>
<b>2013 Total Request</b>	<b>7</b>	<b>7</b>	<b>1,303</b>
Total Change 2012 to 2013	-	-	(1)

FLETC requests 7 positions, 7 FTEs, and \$1.303 million for this activity. Adjustments-to-base include:

- An increase of \$0.003 million for pay inflation, and
- A decrease of (\$0.004) million for efficiency offset for travel, overtime, purchasing savings, and PCS costs.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Accreditation:** The Federal Law Enforcement Accreditation (FLETA) process sets the standards for Federal law enforcement training. The accreditation of a Federal Law Enforcement academy or program provides assurance to the citizens they serve that they have voluntarily submitted to a process of self-regulation; and, that they have successfully achieved compliance with a set of standards that have been collectively established by their peers within their professional community that demonstrate their adherence to quality, effectiveness and integrity. To accomplish this goal, trainers in the same discipline, working through a professional accrediting body, assist each other in evaluating and improving their professionalism. The focus of the effort is to accredit Federal academies; entry-level and advanced or specialized training programs; instructor training; and, other programs that affect multiple Federal, State and local law enforcement officers.

#### **IV. Program Justification Changes**

**N/A**

## V. Exhibits and Other Supporting Material

### A. Justification of Proposed Legislative Language

For necessary expenses of the Federal Law Enforcement Training Center, including materials and support costs of Federal law enforcement basic training; the purchase of not to exceed 117 vehicles for police-type use and hire of passenger motor vehicles; expenses for student athletic and related activities; the conduct of and participation in firearms matches and presentation of awards; public awareness and enhancement of community support of law enforcement training; room and board for student interns; a flat monthly reimbursement to employees authorized to use personal mobile phones for official duties; and services as authorized by section 3109 of title 5, United States Code; [\$238,957,000]**\$228,939,000**; of which up to [\$48,978,000]**\$44,758,000** shall remain available until September 30, [2013]**2014**, for materials and support costs of Federal law enforcement basic training; of which \$300,000 shall remain available until expended to be distributed to Federal law enforcement agencies for expenses incurred participating in training accreditation; and of which not to exceed \$10,200 shall be for official reception and representation expenses: *Provided*, That the Center is authorized to obligate funds in anticipation of reimbursements from agencies receiving training sponsored by the Center, except that total obligations at the end of the fiscal year shall not exceed total budgetary resources available at the end of the fiscal year: *Provided further*, That section 1202(a) of Public Law 107-206 (42 U.S.C. 3771 note), as amended by Public Law [111-83 (123 Stat. 2166)] 112-74, is further amended by striking “December 31, [2012]**2014**” and inserting “December 31, [2014]**2015**”: *Provided further*, That the Director of the Federal Law Enforcement Training Center shall schedule basic or advanced law enforcement training, or both, at all four training facilities under the control of the Federal Law Enforcement Training Center to ensure that such training facilities are operated at the highest capacity throughout the fiscal year: *Provided further*, That the Federal Law Enforcement Training Accreditation Board, including representatives from the Federal law enforcement community and non-Federal accreditation experts involved in law enforcement training, shall lead the Federal law enforcement training accreditation process to continue the implementation of measuring and assessing the quality and effectiveness of Federal law enforcement training programs, facilities, and instructors.

(Department of Homeland Security Appropriations Act, 2012).

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actuals</b>	<b>1,130</b>	<b>1,099</b>	<b>236,475</b>
<b>FY 2012 Enacted</b>	<b>1,130</b>	<b>1,103</b>	<b>238,957</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
Transfer from the Law Enforcement Training PPA	230	224	29,716
Transfer to Management and Administration PPA	(230)	(224)	(29,716)
<b>Total, Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	472
<b>Total, Increases</b>	-	-	<b>472</b>
<b>Decreases</b>	-	-	-
Basic Training Account Reduction	-	-	(3,660)
Efficiency Offsets	-	-	(6,830)
<b>Total, Decreases</b>	-	-	<b>(10,490)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(10,018)</b>
<b>FY 2013 Current Services</b>	<b>1,130</b>	<b>1,103</b>	<b>228,939</b>
<b>Program Changes</b>	-	-	-
	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Request</b>	<b>1,130</b>	<b>1,103</b>	<b>228,939</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(10,018)</b>

## C. Summary of Requirements

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actuals</b>	1,130	1,099	236,475
<b>FY 2012 Enacted</b>	1,130	1,103	238,957
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	472
Decreases	-	-	(10,490)
<b>Total, Adjustments-to-Base</b>	-	-	<b>(10,018)</b>
<b>FY 2013 Current Services</b>	1,130	1,103	228,939
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Request</b>	1,130	1,103	228,939
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(10,018)</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Management and Administration	-	-	-	230	224	29,261	-	-	-	230	224	29,261	230	224	29,261
Law Enforcement Training	1,123	1,096	237,653	(230)	(224)	(39,278)	-	-	-	893	872	198,375	(230)	(224)	(39,278)
Accreditation	7	7	1,304	-	-	(1)	-	-	-	7	7	1,303	-	-	(1)
<b>Total</b>	<b>1,130</b>	<b>1,103</b>	<b>238,957</b>	<b>-</b>	<b>-</b>	<b>(10,018)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,130</b>	<b>1,103</b>	<b>228,939</b>	<b>-</b>	<b>-</b>	<b>(10,018)</b>



## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Administrative Office of the U.S. Courts	-	-	987	-	-	1,678	-	-	1,678	-	-	-
Analysis and Operations	14	14	1,348	14	14	1,349	14	14	1,349	-	-	-
Customs and Border Protection	-	-	6,595	-	-	10,400	-	-	10,400	-	-	-
Customs and Border Protection, Border Patrol	-	-	7,551	-	-	8,886	-	-	8,886	-	-	-
Department of Defense, Air Force	4	4	3,379	4	4	3,687	4	4	3,687	-	-	-
Department of Defense, Navy	1	1	1,757	1	1	2,497	1	1	2,497	-	-	-
Department of Defense, Pentagon Force Protection Agency	6	6	1,155	6	6	1,828	6	6	1,828	-	-	-
Department of Homeland Security - CFO	-	-	-	-	-	1,400	-	-	1,400	-	-	-
Department of Interior, Indian Affairs	15	15	2,666	15	15	2,067	15	15	2,067	-	-	-
Department of Justice, ATF	4	4	1,168	4	4	2,008	4	4	2,008	-	-	-
Department of Justice, Bureau of Prisons	-	-	1,675	-	-	3,282	-	-	3,282	-	-	-
Department of Justice, US Marshals Service	8	8	3,942	8	8	4,579	8	8	4,579	-	-	-
Department of State	1	1	1,091	1	1	2,700	1	1	2,700	-	-	-
Department of State, Diplomatic Security Service	2	2	993	2	2	1,275	2	2	1,275	-	-	-
Department of Treasury, IRS	5	5	1,743	5	5	4,712	5	5	4,712	-	-	-
Federal Air Marshall Service	13	13	2,925	13	13	1,480	13	13	1,480	-	-	-
Immigration and Customs Enforcement	7	7	7,016	7	7	9,100	7	7	9,100	-	-	-
Inspector General Criminal Investigator Academy	9	9	1,092	9	9	2,839	9	9	2,839	-	-	-
Transportation Security Administration	6	6	1,159	6	6	1,299	6	6	1,299	-	-	-
U.S. Capital Police	-	-	562	-	-	1,100	-	-	1,100	-	-	-
US Coast Guard	1	1	4,887	1	1	4,581	1	1	4,581	-	-	-
United States Secret Service	5	5	1,626	5	5	3,432	5	5	3,432	-	-	-
VARIOUS	9	9	29,152	9	9	23,821	9	9	23,821	-	-	-
<b>Total Budgetary Resources</b>	<b>110</b>	<b>110</b>	<b>84,469</b>	<b>110</b>	<b>110</b>	<b>100,000</b>	<b>110</b>	<b>110</b>	<b>100,000</b>	-	-	-

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Law Enforcement Training	110	110	84,469	110	110	100,000	110	110	100,000	-	-	-
<b>Total Obligations</b>	<b>110</b>	<b>110</b>	<b>84,469</b>	<b>110</b>	<b>110</b>	<b>100,000</b>	<b>110</b>	<b>110</b>	<b>100,000</b>	-	-	-

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	86,464	87,192	86,651	(541)
11.3 Other than full-time permanent	1,926	1,943	1,923	(20)
11.5 Other personnel compensation	257	259	256	(3)
11.6 Pay Diff (Sun/Night)	3,537	3,567	3,011	(556)
11.7 Military personnel/Awards	2,223	2,241	1,437	(804)
12.1 Benefits	28,095	28,335	28,136	(199)
12.4 Allowances	1,912	1,930	1,907	(23)
12.6 Temporary Quarters	1,383	1,395	617	(778)
13.0 Unemployment Compensation	238	239	240	1
<b>Total, Personnel and Other Compensation Benefits</b>	<b>126,035</b>	<b>127,101</b>	<b>124,178</b>	<b>(2,923)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	6,811	8,351	6,040	(2,311)
22.0 Transportation of things	538	640	400	(240)
23.2 Other rent	31	38	37	(1)
23.3 Communications, utilities, and misc. charges	8,746	10,814	8,765	(2,049)
24.0 Printing	1,075	1,330	761	(569)
25.1 Advisory and assistance services	1,867	2,258	2,187	(71)
25.2 Other services	9,644	11,825	6,049	(5,776)
25.3 Purchases from Gov't accts.	5,901	7,293	6,903	(390)
25.4 O&M of facilities	32,561	40,299	30,204	(10,095)
25.6 Medical care	3,231	3,998	2,574	(1,424)
25.7 Operation and maintenance of equipment	9,851	12,174	11,641	(533)
25.8 Subsistence & Support of persons	893	1,104	815	(289)
26.0 Supplies and materials	9,375	11,513	5,213	(6,300)
31.0 Equipment	19,901	24,544	23,157	(1,387)
42.0 Insurance Claims and Indemnity	15	16	15	(1)
<b>Total, Other Object Classes</b>	<b>110,440</b>	<b>136,197</b>	<b>104,761</b>	<b>(31,436)</b>
<b>Total, Direct Obligations</b>	<b>236,475</b>	<b>263,298</b>	<b>228,939</b>	<b>(34,359)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(24,341)	-	24,341
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(24,341)</b>	<b>-</b>	<b>24,341</b>
<b>Total Requirements</b>	<b>236,475</b>	<b>238,957</b>	<b>228,939</b>	<b>(10,018)</b>
<b>Full Time Equivalents</b>	<b>1,099</b>	<b>1,103</b>	<b>1,103</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actuals	Enacted	Request	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	9	9	9	-
GS-15	82	82	82	-
GS-14	141	141	141	-
GS-13	316	316	316	-
GS-12	260	260	260	-
GS-11	103	103	103	-
GS-9	93	93	93	-
GS-8	22	22	22	-
GS-7	35	35	35	-
GS-6	7	7	7	-
GS-5	6	6	6	-
GS-4	4	4	4	-
Other Graded Positions	52	52	52	-
<b>Total Permanent Positions</b>	<b>1,130</b>	<b>1,130</b>	<b>1,130</b>	-
Unfilled Positions EOY	31	27	27	-
Total Permanent Employment EOY	1,099	1,103	1,103	-
Headquarters	914	915	915	-
U.S. Field	213	213	213	-
Foreign Field	3	2	2	-
<b>Total, Salaries and Expenses:</b>	<b>1,130</b>	<b>1,130</b>	<b>1,130</b>	-
<b>Full Time Equivalents</b>	<b>1,099</b>	<b>1,103</b>	<b>1,103</b>	-
Average ES Salary	165,400	165,400	165,400	-
Average GS Salary	85,700	85,700	85,700	-
Average Grade	12	12	12	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Accreditation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	650	647	649	2
11.7 Military personnel/Awards	11	11	8	(3)
12.1 Benefits	190	189	190	1
<b>Total, Personnel and Compensation Benefits</b>	<b>851</b>	<b>847</b>	<b>847</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	436	581	326	(255)
24.0 Printing	4	5	3	(2)
25.1 Advisory and assistance services	60	80	45	(35)
25.2 Other services	25	33	19	(14)
26.0 Supplies and materials	83	111	63	(48)
<b>Total, Other Object Classes</b>	<b>608</b>	<b>810</b>	<b>456</b>	<b>(354)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(353)	-	353
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(353)</b>	<b>-</b>	<b>353</b>
<b>Total Requirements</b>	<b>1,459</b>	<b>1,304</b>	<b>1,303</b>	<b>(1)</b>
<b>Full Time Equivalents</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>-</b>

### Accreditation Mission Statement

To enhance the quality of Federal law enforcement by establishing and maintaining a body of standards for Federal law enforcement training; to administer an accreditation process based on those standards; and to ensure compliance with the process in order to maintain public confidence in Federal law enforcement.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	650	647	649	2
11.7 Military personnel/Awards	11	11	8	(3)
12.1 Benefits	190	189	190	1

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	650	647	649	2
<b>Total, Salaries &amp; Benefits</b>	<b>851</b>	<b>847</b>	<b>847</b>	<b>-</b>

Salaries and Benefits includes costs for 7 FTEs. The FY 2013 Request includes an increase of \$3,000 for pay inflation and a decrease of \$3,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$436</b>	<b>\$581</b>	<b>\$326</b>	<b>-\$255</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 Request includes a decrease of \$1,000 for efficiency offsets and a carryover adjustment of \$254,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$4</b>	<b>\$5</b>	<b>\$3</b>	<b>-\$2</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. FY 2013 Request includes a carryover adjustment of \$2,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>\$60</b>	<b>\$80</b>	<b>\$45</b>	<b>-\$35</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. FY 2013 Request includes a carryover adjustment of \$35,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	<b>\$25</b>	<b>\$33</b>	<b>\$19</b>	<b>-\$14</b>

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. FY 2013 Request includes a carryover adjustment of \$14,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	<b>\$83</b>	<b>\$111</b>	<b>\$63</b>	<b>-\$48</b>

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. FY 2013 Request includes a carryover adjustment of \$48,000.

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Law Enforcement Training  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	85,814	86,545	67,251	(19,294)
11.3 Other than full-time permanent	1,926	1,943	1,706	(237)
11.5 Other personnel compensation	257	259	245	(14)
11.6 Pay Diff (Sun/Night)	3,537	3,567	2,391	(1,176)
11.7 Military personnel/Awards	2,212	2,230	987	(1,243)
12.1 Benefits	27,905	28,146	22,758	(5,388)
12.4 Allowances	1,912	1,930	1,883	(47)
12.6 Temporary Quarters	1,383	1,395	473	(922)
13.0 Unemployment Compensation	238	239	-	(239)
<b>Total, Personnel and Compensation Benefits</b>	<b>125,184</b>	<b>126,254</b>	<b>97,694</b>	<b>(28,560)</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	6,375	7,770	4,916	(2,854)
22.0 Transportation of things	538	640	286	(354)
23.2 Other rent	31	38	37	(1)
23.3 Communications, utilities, and misc. charges	8,746	10,814	8,684	(2,130)
24.0 Printing	1,071	1,325	757	(568)
25.1 Advisory and assistance services	1,807	2,178	1,742	(436)
25.2 Other services	9,619	11,792	5,332	(6,460)
25.3 Purchases from Gov't accts.	5,901	7,293	6,829	(464)
25.4 O&M of facilities	32,561	40,299	30,175	(10,124)
25.6 Medical care	3,231	3,998	2,563	(1,435)
25.7 Operation and maintenance of equipment	9,851	12,174	11,547	(627)
25.8 Subsistence & Support of persons	893	1,104	811	(293)
26.0 Supplies and materials	9,292	11,402	4,468	(6,934)
31.0 Equipment	19,901	24,544	22,534	(2,010)
42.0 Insurance Claims and Indemnity	15	16	-	(16)
<b>Total, Other Object Classes</b>	<b>109,832</b>	<b>135,387</b>	<b>100,681</b>	<b>(34,706)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(23,988)	-	23,988
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(23,988)</b>	<b>-</b>	<b>23,988</b>
<b>Total Requirements</b>	<b>235,016</b>	<b>237,653</b>	<b>198,375</b>	<b>(39,278)</b>
<b>Full Time Equivalents</b>	<b>1,092</b>	<b>1,096</b>	<b>872</b>	<b>(224)</b>

**Law Enforcement Training Mission Statement**

We train those who protect our homeland.

**Summary Justification and Explanation of Changes**

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	85,814	86,545	67,251	(19,294)
11.3 Other than full-time permanent	1,926	1,943	1,706	(237)
11.5 Other personnel compensation	257	259	245	(14)
11.6 Pay Diff (Sun/Night)	3,537	3,567	2,391	(1,176)
11.7 Military personnel/Awards	2,212	2,230	987	(1,243)
12.1 Benefits	27,905	28,146	22,758	(5,388)
12.4 Allowances	1,912	1,930	1,883	(47)
13.0 Unemployment Compensation	238	239	-	(239)
<b>Total, Salaries &amp; Benefits</b>	<b>123,801</b>	<b>124,859</b>	<b>97,221</b>	<b>(27,638)</b>

Salaries and Benefits includes costs for 872 FTEs. The FY 2013 Request includes a transfer of \$25,731,000 to the Management and Administration PPA, an increase of \$371,000 for pay inflation and a decrease of \$3,200,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>\$6,375</b>	<b>\$7,770</b>	<b>\$4,916</b>	<b>-\$2,854</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. FY 2013 Request includes a transfer of \$860,000 to the Management and Administration PPA, a decrease of \$335,000 for efficiency offsets, a reduction to basic training of \$220,000 and a carryover adjustment of \$1,439,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>\$538</b>	<b>\$640</b>	<b>\$286</b>	<b>-\$354</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 Request includes a transfer of \$189,000 to the Management and Administration PPA and a decrease of \$165,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.2 Other rent</b>	<b>\$31</b>	<b>\$38</b>	<b>\$37</b>	<b>-\$1</b>

Other rent includes all payments to a non-Federal source for rental space, land, and structures. The FY 2013 Request includes a decrease of \$1,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>\$8,746</b>	<b>\$10,814</b>	<b>\$8,684</b>	<b>-\$2,130</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 Request includes a transfer of \$83,000 to the Management and Administration PPA, a reduction to basic training of \$256,000, a decrease of \$112,000 for efficiency offsets and a carryover adjustment of \$1,679,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>\$1,071</b>	<b>\$1,325</b>	<b>\$757</b>	<b>-\$568</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY



	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
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2013 Request includes a transfer of \$1,000 to the Management and Administration PPA, a reduction to basic training of \$73,000, a decrease of \$14,000 for efficiency offsets and a carryover adjustment of \$480,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$1,807	\$2,178	\$1,742	-\$436

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 Request includes a transfer of \$418,000 to the Management and Administration PPA and a decrease of \$18,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.2 Other services	\$9,619	\$11,792	\$5,332	-\$6,460

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 Request includes a transfer of \$816,000 to the Management and Administration PPA, a reduction to basic training of \$732,000, a decrease of \$114,000 for efficiency offsets and a carryover adjustment of \$4,798,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$5,901	\$7,293	\$6,829	-\$464

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 Request includes a transfer of \$77,000 to the Management and Administration PPA and a decrease of \$387,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$32,561	\$40,299	\$30,175	-\$10,124

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 Request includes a transfer of \$29,000 to the Management and Administration PPA, a reduction to basic training of \$1,281,000, a decrease of \$418,000 for efficiency offsets and a carryover adjustment of \$8,396,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.6 Medical care	\$3,231	\$3,998	\$2,563	-\$1,435

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2013 Request includes a transfer of \$11,000 to the Management and Administration PPA, a reduction to basic training of \$183,000, a decrease of \$42,000 for efficiency offsets and a carryover adjustment of \$1,199,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$9,851	\$12,174	\$11,547	-\$627

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
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Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 Request includes a transfer of \$136,000 to the Management and Administration PPA, a reduction to basic training of \$37,000, a decrease of \$214,000 for efficiency offsets and a carryover adjustment of \$240,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.8 Subsistence & Support of persons	\$893	\$1,104	\$811	-\$293

Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2013 Request includes a transfer of \$4,000 to the Management and Administration PPA, a reduction to basic training of \$37,000, a decrease of \$12,000 for efficiency offsets and a carryover adjustment of \$240,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$9,292	\$11,402	\$4,468	-\$6,934

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 Request includes a transfer of \$704,000 to the Management and Administration PPA, a reduction to basic training of \$841,000, a decrease of \$112,000 for efficiency offsets and a carryover adjustment of \$5,277,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
31.0 Equipment	\$19,901	\$24,544	\$22,534	-\$2,010

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. FY 2013 Request includes a transfer of \$641,000 to the Management and Administration PPA, a decrease of \$1,129,000 for efficiency offsets and a carryover adjustment of \$240,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
42.0 Insurance Claims and Indemnity	\$15	\$16	0	-\$16

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2013 Request includes a transfer of \$16,000 to the Management and Administration PPA.

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Salaries and Expenses:  
Management and Administration  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	-	-	18,751	18,751
11.3 Other than full-time permanent	-	-	217	217
11.5 Other personnel compensation	-	-	11	11
11.6 Pay Diff (Sun/Night)	-	-	620	620
11.7 Military personnel/Awards	-	-	442	442
12.1 Benefits	-	-	5,188	5,188
12.4 Allowances	-	-	24	24
12.6 Temporary Quarters	-	-	144	144
13.0 Unemployment Compensation	-	-	240	240
<b>Total, Personnel and Compensation Benefits</b>	-	-	<b>25,637</b>	<b>25,637</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	-	-	798	798
22.0 Transportation of things	-	-	114	114
23.3 Communications, utilities, and misc. charges	-	-	81	81
24.0 Printing	-	-	1	1
25.1 Advisory and assistance services	-	-	400	400
25.2 Other services	-	-	698	698
25.3 Purchases from Gov't accts.	-	-	74	74
25.4 O&M of facilities	-	-	29	29
25.6 Medical care	-	-	11	11
25.7 Operation and maintenance of equipment	-	-	94	94
25.8 Subsistence & Support of persons	-	-	4	4
26.0 Supplies and materials	-	-	682	682
31.0 Equipment	-	-	623	623
42.0 Insurance Claims and Indemnity	-	-	15	15
<b>Total, Other Object Classes</b>	-	-	<b>3,624</b>	<b>3,624</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	-	-	<b>29,261</b>	<b>29,261</b>
<b>Full Time Equivalents</b>	-	-	<b>224</b>	<b>224</b>

**Management and Administration Mission Statement**

We train those who protect our homeland.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	-	-	18,751	18,751
11.3 Other than full-time permanent	-	-	217	217
11.5 Other personnel compensation	-	-	11	11
11.6 Pay Diff (Sun/Night)	-	-	620	620
11.7 Military personnel/Awards	-	-	442	442
12.1 Benefits	-	-	5,188	5,188
12.4 Allowances	-	-	24	24
13.0 Unemployment Compensation	-	-	240	240
<b>Total, Salaries &amp; Benefits</b>	-	-	<b>25,493</b>	<b>25,493</b>

Salaries and Benefits includes costs for 224 FTEs. The FY 2013 Request includes a transfer of \$25,731,000 from the Law Enforcement Training PPA, an increase of \$98,000 for pay inflation and a decrease of \$192,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	<b>0</b>	<b>0</b>	<b>\$798</b>	<b>\$798</b>

Travel includes all costs of transportation of persons, subsistence of travelers, and incidental travel expenses in accordance with Federal travel regulations. The FY 2013 Request includes a transfer of \$860,000 from the Law Enforcement Training PPA and a decrease of \$62,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>22.0 Transportation of things</b>	<b>0</b>	<b>0</b>	<b>\$114</b>	<b>\$114</b>

Transportation of things includes all costs of the care of such things while in process of being transported, and other services incident to the transportation of things. The FY 2013 Request includes a transfer of \$189,000 from the Law Enforcement Training PPA and a decrease of \$75,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>23.3 Communications, utilities, and misc. charges</b>	<b>0</b>	<b>0</b>	<b>\$81</b>	<b>\$81</b>

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 Request includes a transfer of \$83,000 from the Law Enforcement Training PPA and a decrease of \$2,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>0</b>	<b>0</b>	<b>\$1</b>	<b>\$1</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 Request includes a transfer of \$1,000 from the Law Enforcement Training PPA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>0</b>	<b>0</b>	<b>\$400</b>	<b>\$400</b>

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
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Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 Request includes a transfer of \$418,000 from the Law Enforcement Training PPA and a decrease of \$18,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.2 Other services	0	0	\$698	\$698

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 Request includes a transfer of \$816,000 from the Law Enforcement Training PPA and a decrease of \$118,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	0	0	\$74	\$74

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 Request includes a transfer of \$77,000 from the Law Enforcement Training PPA and a decrease of \$3,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.4 O&M of facilities	0	0	\$29	\$29

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 Request includes a transfer of \$29,000 from the Law Enforcement Training PPA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.6 Medical care	0	0	\$11	\$11

Medical care includes payments to contracts for medical services, but excludes contracts with individuals who are reportable under OPM regulations as federal employees or payments to compensate casual workers and patient help. The FY 2013 Request includes a transfer of \$11,000 from the Law Enforcement Training PPA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	0	0	\$94	\$94

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 Request includes a transfer of \$136,000 from the Law Enforcement Training PPA and a decrease of \$42,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
25.8 Subsistence & Support of persons	0	0	\$4	\$4

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
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Subsistence & Support of Persons includes costs for contractual services with the public or another Federal government account for the board, lodging, and care of persons, including prisoners. The FY 2013 Request includes a transfer of \$4,000 from the Law Enforcement Training PPA.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
26.0 Supplies and materials	0	0	\$682	\$682

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 Request includes a transfer of \$704,000 from the Law Enforcement Training PPA and a decrease of \$22,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
31.0 Equipment	0	0	\$623	\$623

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 Request includes a transfer of \$641,000 from the Law Enforcement Training PPA and a decrease of \$18,000 for efficiency offsets.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
42.0 Insurance Claims and Indemnity	0	0	\$15	\$15

Insurance claims and indemnities includes all benefit payments from the social insurance and Federal retirement trust funds and payments for losses and claims including those under the Equal Access to Justice Act. The FY 2013 Request includes a transfer of \$16,000 from the Law Enforcement Training PPA and a decrease of \$1,000 for efficiency offsets.

## I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>1,087</b>	<b>1,099</b>	<b>1,103</b>
<b>Increases</b>			
Adjustment for Actuals/Estimated FTE	12	4	-
Realignment to the Management and Administration PPA	-	-	224
<b>Subtotal, Increases</b>	<b>12</b>	<b>4</b>	<b>224</b>
<b>Decreases</b>			
Realignment from the Law Enforcement Training PPA	-	-	(224)
<b>Subtotal, Decreases</b>	<b>-</b>	<b>-</b>	<b>(224)</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>1,099</b>	<b>1,103</b>	<b>1,103</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>12</b>	<b>4</b>	<b>-</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actuals Amount</b>	<b>FY 2012 Enacted Amount</b>	<b>FY 2013 Request Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Law Enforcement Training	\$2,168	\$2,546	\$2,745	\$199
<b>Total Working Capital Fund</b>	<b>2,168</b>	<b>2,546</b>	<b>2,745</b>	<b>199</b>



**K. DHS Balanced Workforce Strategy**

N/A

# Department of Homeland Security

*Federal Law Enforcement Training Center  
Acquisitions, Construction, Improvements and Related Expenses*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Federal Law Enforcement Training Center Acquisition, Construction, Improvements & Related Expenses**

### **I. Appropriation Overview**

#### **A. Mission Statement for Acquisition, Construction, Improvements & Related Expenses:**

We train those who protect our homeland.

#### **B. Budget Activities:**

The Federal Law Enforcement Training Center (FLETC) is the Nation's largest provider of law enforcement training. FLETC serves as an interagency law enforcement training organization for 90 Federal Partner Organizations (POs) and numerous State, local, tribal, campus, and international law enforcement agencies.

Most of the 90 Federal POs that train with FLETC attend one of its multi-agency basic programs, and then continue with their unique agency-specific follow-on programs at their own academies, most of which are co-located at one of FLETC's four domestic training sites. In addition to basic training, FLETC also offers a variety of advanced law enforcement training programs.

FLETC has embraced the philosophy that homeland protection is not the sole province of the Federal Government, and that the security of our Nation starts in rural counties, small towns, and municipalities and extends even to our law enforcement colleagues abroad. FLETC offers specialized training programs for State, local, tribal, campus and, in coordination with the Department of State, international law enforcement personnel. These programs are designed to meet critical training needs and to enhance networking and cooperation domestically and globally.

In furtherance of FLETC's mission, our reach is extended through the use of non-traditional training delivery techniques, including the use of online training distribution and the use of technology-based simulation. Additionally, FLETC exports training programs to various locations when a geographical concentration of personnel is identified and the programs being conducted do not require the use of certain specialized facilities.

Training law enforcement officers in a collaborative, multi-agency environment offers both fiscal and qualitative advantages. FLETC teams with its training partners to jointly prepare Federal law enforcement professionals to perform their duties in the safest possible manner, at the highest possible level of proficiency. It endeavors to accomplish this critical mission by delivering consistent, accredited instruction using a proven consolidated training model.

#### **C. Budget Request Summary:**

The Federal Law Enforcement Training Center requests \$29,385,000.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Acquisition, Construction, Improvements & Related Expenses:  
Summary of FY 2013 Budget Estimates by Program Project Activity**

FY 2013 Request  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actuals			Enacted			Request			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Acquisition, Construction, Improvements & Related Expenses:	-	-	62,411	-	-	32,456	-	-	29,385	-	-	(3,071)	-	-	-	-	-	(3,071)
<b>Total, Acquisition, Construction, Improvements &amp; Related Expenses:</b>	-	-	<b>62,411</b>	-	-	<b>32,456</b>	-	-	<b>29,385</b>	-	-	<b>(3,071)</b>	-	-	-	-	-	<b>(3,071)</b>
Subtotal, Enacted Appropriations and Budget Estimates	-	-	62,411	-	-	32,456	-	-	29,385	-	-	(3,071)	-	-	-	-	-	(3,071)
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>62,411</b>	-	-	<b>32,456</b>	-	-	<b>29,385</b>	-	-	<b>(3,071)</b>	-	-	-	-	-	<b>(3,071)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Federal Law Enforcement Training Center**  
**Acquisition, Construction, Improvements & Related Expenses:**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Acquisition, Construction, Improvements & Related Expenses:**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actuals</b>	-	-	<b>62,411</b>
<b>2012 Enacted</b>	-	-	<b>32,456</b>
2013 Adjustments-to-Base	-	-	(3,071)
<b>2013 Current Services</b>	-	-	<b>29,385</b>
<b>2013 Total Request</b>	-	-	<b>29,385</b>
Total Change 2012 to 2013	-	-	(3,071)

FLETC requests \$29.385 million for this activity; a decrease of \$3.071 million below the 2012 enacted level. To accomplish this reduction, FLETC will defer renovation/construction of the Auditorium at the FLETC-Artesia site.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Acquisition, Construction, Improvement & Related Expenses:** This account provides for the acquisition and related costs for the expansion and maintenance of FLETC, to include funding for the Facilities Master Plan, Minor Construction and Maintenance, Environmental Compliance, and Communications Systems. The Master Plan provides the long range blueprint for expansion of facilities to meet the training requirements of 90 Partner Organizations. Minor Construction and Maintenance provides alterations and maintenance funding for approximately 300 buildings. Environmental Compliance funding is to ensure compliance with the Environmental Protection Agency and State environmental laws and regulations. Communications Systems funding is to maintain and repair or replace the fiber optics telecommunications cable system.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For acquisition of necessary additional real property and facilities, construction, and ongoing maintenance, facility improvements, and related expenses of the Federal Law Enforcement Training Center, [\$32,456,000] **\$29,385,000**, to remain available until September 30, [2016]**2017**: *Provided*, That the Center is authorized to accept reimbursement to this appropriation from government agencies requesting the construction of special use facilities.

(Department of Homeland Security Appropriations Act, 2012).



## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security**  
**Federal Law Enforcement Training Center**  
**Acquisition, Construction, Improvements & Related Expenses:**  
 FY2012 to FY2013 Budget Change  
 (Dollars in Thousands)

	Pos.	FTE	Amount
FY 2011 Actuals	-	-	62,411
FY 2012 Enacted	-	-	32,456
Adjustments-to-Base	-	-	-
Transfers	-	-	-
Decreases	-	-	-
Deferred Maintenance	-	-	(3,071)
Total, Decreases	-	-	(3,071)
Total, Adjustments-to-Base	-	-	(3,071)
 FY 2013 Current Services	 -	 -	 29,385
Program Changes	-	-	-
Total, Program Changes	-	-	-
 FY 2013 Request	 -	 -	 29,385
 FY 2012 to FY 2013 Total Change	 -	 -	 (3,071)

## C. Summary of Requirements

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Acquisition, Construction, Improvements & Related Expenses:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actuals	-	-	62,411
FY 2012 Enacted	-	-	32,456
Adjustments-to-Base	-	-	-
Decreases	-	-	(3,071)
<b>Total, Adjustments-to-Base</b>	-	-	<b>(3,071)</b>
FY 2013 Current Services	-	-	29,385
Program Changes	-	-	-
<b>Total, Program Changes</b>	-	-	-
FY 2013 Request	-	-	29,385
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>(3,071)</b>

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted			Adjustments-to-Base			Program Change			Request			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Acquisition, Construction, Improvements & Related Expenses:	-	-	32,456	-	-	(3,071)	-	-	-	-	-	29,385	-	-	(3,071)
<b>Total</b>	-	-	<b>32,456</b>	-	-	<b>(3,071)</b>	-	-	-	-	-	<b>29,385</b>	-	-	<b>(3,071)</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Acquisition, Construction, Improvements & Related Expenses:  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
DHS Science & Technology	-	-	45,248	-	-	60,000	-	-	65,000	-	-	5,000
Immigration and Customs Enforcement	-	-	1,302	-	-	-	-	-	-	-	-	-
Various	-	-	734	-	-	2,000	-	-	2,000	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>47,284</b>	-	-	<b>62,000</b>	-	-	<b>67,000</b>	-	-	<b>5,000</b>

	FY 2011 Actuals			FY 2012 Enacted			FY 2013 Request			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Acquisition, Construction, Improvements, and Related Expenses	-	-	47,284	-	-	62,000	-	-	67,000	-	-	5,000
<b>Total Obligations</b>	-	-	<b>47,284</b>	-	-	<b>62,000</b>	-	-	<b>67,000</b>	-	-	<b>5,000</b>

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Acquisition, Construction, Improvements & Related Expenses:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	40	39	39	-
23.1 GSA rent	256	265	270	5
23.2 Other rent	4	4	4	-
25.1 Advisory and assistance services	133	130	130	-
25.2 Other services	14	14	14	-
25.3 Purchases from Gov't accts.	182	178	178	-
25.4 O&M of facilities	1,671	1,638	1,638	-
26.0 Supplies and materials	114	112	112	-
31.0 Equipment	1,851	1,814	1,814	-
32.0 Land & structures	58,146	42,044	25,186	(16,858)
<b>Total, Other Object Classes</b>	<b>62,411</b>	<b>46,238</b>	<b>29,385</b>	<b>(16,853)</b>
<b>Total, Direct Obligations</b>	<b>62,411</b>	<b>46,238</b>	<b>29,385</b>	<b>(16,853)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(13,782)	-	13,782
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(13,782)</b>	<b>-</b>	<b>13,782</b>
<b>Total Requirements</b>	<b>62,411</b>	<b>32,456</b>	<b>29,385</b>	<b>(3,071)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**F. Permanent Positions by Grade**  
N/A

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justification

**Department of Homeland Security  
Federal Law Enforcement Training Center  
Acquisition, Construction, Improvements & Related Expenses:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
Personnel and Compensation Benefits	-	-	-	-
Other Object Classes	-	-	-	-
21.0 Travel	40	39	39	-
23.1 GSA rent	256	265	270	5
23.2 Other rent	4	4	4	-
25.1 Advisory and assistance services	133	130	130	-
25.2 Other services	14	14	14	-
25.3 Purchases from Gov't accts.	182	178	178	-
25.4 O&M of facilities	1,671	1,638	1,638	-
26.0 Supplies and materials	114	112	112	-
31.0 Equipment	1,851	1,814	1,814	-
32.0 Land & structures	58,146	42,044	25,186	(16,858)
<b>Total, Other Object Classes</b>	<b>62,411</b>	<b>46,238</b>	<b>29,385</b>	<b>(16,853)</b>
Adjustments	-	-	-	-
Unobligated Balance, start of year	-	(13,782)	-	13,782
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(13,782)</b>	<b>-</b>	<b>13,782</b>
<b>Total Requirements</b>	<b>62,411</b>	<b>32,456</b>	<b>29,385</b>	<b>(3,071)</b>
Full Time Equivalents	-	-	-	-

### Acquisition, Construction, Improvements & Related Expenses: Mission Statement

We train those who protect our homeland.

### Summary Justification and Explanation of Changes

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
<b>Total, Salaries &amp; Benefits</b>	-	-	-	-

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
23.1 GSA rent	\$256	\$265	\$270	\$5

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request includes a carryover adjustment of \$5,000.

	FY 2011 Actuals	FY 2012 Enacted	FY 2013 Request	FY 2012 to FY 2013 Change
32.0 Land & structures	\$58,146	\$42,044	\$25,186	-\$16,858

Land and structures includes the costs for land and interests in land, buildings and other structures, roads, additions to buildings, nonstructural (or resource) improvements such as fences and landscaping, and fixed equipment additions and replacements when acquired under contract or by capital lease. The FY 2013 request includes a decrease of \$3,071,000 for deferred maintenance and a carryover adjustment of \$13,787,000.



**I. Changes In Full Time Employment**

**N/A**

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

**N/A**

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*Science and Technology Directorate*

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Fiscal Year 2013  
One-Time Exhibits  
Congressional Justification

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**i. Summary of FY Budget Estimates by Appropriation without Emergency Funding**

**Department of Homeland Security  
Science & Technology  
Summary of FY 2013 Budget Estimates by Appropriation**

Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Management and Administration:	312	320	140,359	361	361	135,000	361	361	138,008	-	-	3,008	-	-	-	-	-	3,008
Research, Development, Acquisitions, and Operations	130	130	764,567	130	130	533,000	130	130	693,464	-	-	160,464	-	-	209,532	-	-	(49,068)
<b>Total, Science &amp; Technology</b>	<b>442</b>	<b>450</b>	<b>904,926</b>	<b>491</b>	<b>491</b>	<b>668,000</b>	<b>491</b>	<b>491</b>	<b>831,472</b>	-	-	<b>163,472</b>	-	-	<b>209,532</b>	-	-	<b>(46,060)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>442</b>	<b>450</b>	<b>904,926</b>	<b>491</b>	<b>491</b>	<b>668,000</b>	<b>491</b>	<b>491</b>	<b>831,472</b>	-	-	<b>163,472</b>	-	-	<b>209,532</b>	-	-	<b>(46,060)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>442</b>	<b>450</b>	<b>904,926</b>	<b>491</b>	<b>491</b>	<b>668,000</b>	<b>491</b>	<b>491</b>	<b>831,472</b>	-	-	<b>163,472</b>	-	-	<b>209,532</b>	-	-	<b>(46,060)</b>

**ii. Homeland and Non-Homeland Allocation**

**Department of Homeland Security  
Science & Technology**  
Homeland and Non-Homeland Allocation by Program/Projects Activity  
(Dollars in Thousands)

	FY 2011						FY 2012						FY 2013						
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority						
	PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non-Homeland Per Centage		Total		PPA Homeland Percentage		PPA Non Homeland Per Centage		Total		
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	
<b>Management and Administration:</b>	0	0	320	140,359	320	140,359	0	0	361	135,000	361	0	0	0	0	361	138,008	361	138,008
Salaries and Expenses	0	0	320	140,359	320	140,359	0	0	361	135,000	361	135,000	0	0	361	138,008	361	138,008	
<b>Research, Development, Acquisitions, and Operations</b>	<b>130</b>	<b>764,567</b>			<b>130</b>	<b>764,567</b>	<b>130</b>	<b>533,000</b>			<b>130</b>	<b>533,000</b>	<b>130</b>	<b>693,464</b>			<b>130</b>	<b>693,464</b>	
Acquisition and Operations Support	0	55,622			0	55,622	0	54,154			0	54,154	0	47,984			0	47,984	
Research Development and Innovation	0	500,389			0	500,389	0	265,783			0	265,783	0	478,048			0	478,048	
University Programs	0	51,803			0	51,803	0	36,563			0	36,563	0	40,000			0	40,000	
Laboratory Facilities	130	156,753			130	156,753	130	176,500			130	176,500	130	127,432			130	127,432	
<b>Total</b>	<b>130</b>	<b>764,567</b>	<b>320</b>	<b>140,359</b>	<b>450</b>	<b>904,926</b>	<b>130</b>	<b>533,000</b>	<b>361</b>	<b>135,000</b>	<b>491</b>	<b>668,000</b>	<b>130</b>	<b>693,464</b>	<b>361</b>	<b>138,008</b>	<b>491</b>	<b>831,472</b>	

**iii. Status of Congressionally Requested Studies, Reports, and Evaluations**

**Department of Homeland Security  
Science & Technology**

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
FY 2012	2/15/2012	House Report 112-91	The Department is directed to report semi-annually to the Committee on the current projects tasked to Federally Funded Research and Development Centers [FFRDCs], the funding obligated by component, including the purposes for the funds, and any projects completed in the prior 6-month period, with the first report due February 15, 2012. The Committee has yet to receive a report for fiscal years 2010 or 2011 pursuant to the requirement in conference report [111–298]. These reports are to be submitted expeditiously.	In Progress



<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
FY 2012	8/14/2012	House Report 112-91	The Department is directed to report semi-annually to the Committee on the current projects tasked to Federally Funded Research and Development Centers [FFRDCs], the funding obligated by component, including the purposes for the funds, and any projects completed in the prior 6-month period, with the first report due February 15, 2012. The Committee has yet to receive a report for fiscal years 2010 or 2011 pursuant to the requirement in conference report [111–298]. These reports are to be submitted expeditiously.	In Progress
FY 2012	9/15/2012	House Report 112-91	directed to continue to provide a report on the amounts de-obligated from projects during the prior fiscal year.	In Progress
FY 2012	1/22/2012	P.L. 112-74	S&T is directed to submit to the Committees a detailed breakout of RDI funding by research thrust areas and by project, based on the categories presented in the budget justification materials, no later than 30 days after the date of enactment of this Act, and to submit quarterly updates thereafter.	In Progress
FY 2012	5/15/2012	P.L. 112-74	RDI funding by research thrust areas and by project, based on the categories presented in the budget justification materials	In Progress
FY 2012	8/15/2012	P.L. 112-74	RDI funding by research thrust areas and by project, based on the categories presented in the budget justification materials	In Progress

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/Citation</b>	<b>Requirement</b>	<b>Status</b>
FY 2012	11/15/2012	P.L. 112-74	RDI funding by research thrust areas and by project, based on the categories presented in the budget justification materials	In Progress
FY 2012	11/15/2012	P.L. 112-74	The Committee directs S&T to submit a detailed update of its fiscal year 2012 NBAF [National Bio-and Agro-defense Facility] construction plan and schedule not later than 60 days after the date of enactment of this Act.	In Progress

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security  
Science and Technology Directorate**

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

Budget Activity				
	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Request
	Fiscal Year	Amount	Amount	Amount
<b>Management and Administration</b>	N/A	N/A	N/A	<b>\$138,008</b>
<b>National Bio and Agro-Defense Facility (NBAF)</b>	N/A	N/A	N/A	<b>\$0</b>
<b>Research, Development, Acquisition, and Operations</b>	N/A	N/A	N/A	<b>\$693,464</b>
Acquisition and Operations Support	N/A	N/A	N/A	47,984
Laboratory Facilities	N/A	N/A	N/A	127,432
Research, Development, and Innovation	N/A	N/A	N/A	478,048
University Programs	N/A	N/A	N/A	40,000
<b>Total Direct Authorization/Appropriation</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>\$831,472</b>

# Department of Homeland Security

*Science & Technology  
Management and Administration*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Science & Technology Management and Administration**

### **I. Appropriation Overview**

#### **A. Mission Statement for Salaries and Expenses:**

Fund the effective and efficient management and leadership of the S&T Directorate activities to deliver advanced technology solutions to DHS components and first responders.

#### **B. Budget Activities:**

The Management and Administration (M&A) appropriation provides for salaries and benefits related to 361 FTE at the S&T Directorate headquarters. These 361 FTE provide executive direction to the S&T Directorate for program management, program execution oversight, program analysis, policy analysis, planning, financial management, guidance formulation, and operations and maintenance support for all S&T Directorate programs.

The M&A appropriation funds business operations and the S&T Directorate's share of the DHS Working Capital Fund. The Business Operations functions include paying for rent, office supplies, utilities, and other operational functions associated with the S&T Directorate's Washington, DC headquarters. This account pays for the training and travel associated with senior management of the S&T Directorate and contractor staff who support the execution of headquarters functions including financial management, facility planning, maintenance, and other administrative functions. M&A also funds the administration of the S&T Directorate's regulatory and treaty compliance activities, headquarters shared services agreements, and the financial and programmatic databases. The M&A appropriation does not fund contractor support or travel associated with the direct execution of Research, Development, Test, and Evaluation (RDT&E) programs across the S&T Directorate.

#### **C. Budget Request Summary:**

The S&T Directorate requests 361 FTE and \$138.008 million for M&A in FY 2013. The total adjustments-to-base of \$3.008 million include an increase of \$3.343 million for the Working Capital Fund and an increase of \$0.228 million for a 0.005% Federal pay raise. It also includes a decrease of \$0.100 million in travel expenses and \$0.463 million in contracts to reflect the Department's management efficiencies initiative.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Science & Technology  
Management and Administration:**  
Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Salaries and Expenses	312	320	140,359	361	361	135,000	361	361	138,008	-	-	3,008	-	-	-	-	-	3,008
<b>Total, Management and Administration:</b>	<b>312</b>	<b>320</b>	<b>140,359</b>	<b>361</b>	<b>361</b>	<b>135,000</b>	<b>361</b>	<b>361</b>	<b>138,008</b>	<b>-</b>	<b>-</b>	<b>3,008</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,008</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>312</b>	<b>320</b>	<b>140,359</b>	<b>361</b>	<b>361</b>	<b>135,000</b>	<b>361</b>	<b>361</b>	<b>138,008</b>	<b>-</b>	<b>-</b>	<b>3,008</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,008</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>312</b>	<b>320</b>	<b>140,359</b>	<b>361</b>	<b>361</b>	<b>135,000</b>	<b>361</b>	<b>361</b>	<b>138,008</b>	<b>-</b>	<b>-</b>	<b>3,008</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>3,008</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security**  
**Science & Technology**  
**Management and Administration:**  
**Salaries and Expenses**  
**Program Performance Justification**  
 (Dollars in Thousands)

**PPA: Salaries and Expenses**

	<u>Perm. Pos</u>	<u>FTE</u>	<u>Amount</u>
<b>2011 Actual Obligations</b>	<b>312</b>	<b>320</b>	<b>140,359</b>
<b>2012 Enacted Budget Authority</b>	<b>361</b>	<b>361</b>	<b>135,000</b>
2013 Adjustments-to-Base	-	-	3,008
<b>2013 Current Services</b>	<b>361</b>	<b>361</b>	<b>138,008</b>
<b>2013 Total Requested Budget Authority</b>	<b>361</b>	<b>361</b>	<b>138,008</b>
Total Change 2012 to 2013	-	-	3,008

The S&T Directorate requests \$138.008 million for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The M&A appropriation funds salaries and benefits related to 361 FTE at the S&T Directorate headquarters. The 361 FTE provide executive direction to the S&T Directorate for policy analysis, planning, financial management, and guidance formulation. These FTE also conduct program management, execution, oversight, analysis, as well as operations and maintenance support for all S&T Directorate programs.

The M&A appropriation funds all of the corporate-level functions in the S&T Directorate that allow the technical divisions to manage the Research, Development, Test, and Evaluation (RDT&E) programs. Those functions include the Finance and Budget Division, including the Chief Financial Officer; the Administration and Support Division, which manage the facilities, personnel and the information technology infrastructure; the Operations Analysis Division, which provides science-based risk analyses; and the Corporate Communications Division, which coordinates internal and external information dissemination. The DHS Working Capital Fund (WCF) provides those shared services that the components rely on to execute their missions, such as contracting officers and the DHS-wide information technology infrastructure.

The request reflects a decrease of \$0.100 million in travel expenses and \$0.463 million in contract efficiencies to reflect the Department’s management efficiencies initiative.



This budget request supports the overhead and administration of the four Research, Development, Acquisition and Operations PPAs, each of which has an important role in implementing RDT&E activities. These PPAs are: Acquisition and Operations Support; Research, Development and Innovation; Laboratory Facilities; and University Programs.

### **Acquisition and Operations Support**

Provides expert assistance to entities across the Homeland Security Enterprise (HSE) to ensure that the transition, acquisition and deployment of technologies, information, and procedures improve the efficiency and effectiveness of the operational capabilities across the HSE mission. This includes providing technological assessment of major acquisition programs in DHS to help ensure that technologies, CONOPS, and procedures meet operational requirements; technology analysis and technology review of analysis of alternatives at the beginning and throughout an acquisition program's life; oversight of the test and evaluation of DHS major acquisition programs; standards to support the Homeland Security mission, and administration of the SAFETY Act program.

The five main areas of Acquisition and Operations Support are: Operations Research and Analysis; Safety Act; Standards; Technology Transition Support; and Testing and Evaluation.

### **Laboratory Facilities**

Manages the Laboratory Facilities programs. The Office of National Laboratories (ONL) provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland.

The *Homeland Security Act of 2002* assigns ONL "the coordination and utilization of the Department of Energy (DOE) national laboratories and other sites under Section 309 in a manner to create a networked laboratory system for the purpose of supporting the missions of the Homeland Security Department." In addition to oversight of the S&T Directorate's laboratory operations, ONL coordinates homeland security-related activities and laboratory-directed research conducted within the DOE's national laboratories.

ONL's internal customers are the S&T Directorate's executing divisions and the Test and Evaluation and Standards division. The primary external Federal customers are: U.S. Department of Agriculture (USDA); Transportation Security Administration (TSA); and the Federal Bureau of Investigation (FBI). ONL executes two programs: Construction and Lab Operations.

### **Research, Development, and Innovation (RD&I)**

Provides state-of-the-art technology and solutions to meet the needs of the operational components of the Department and the first responder community. Includes customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to delivery. These RDT&E programs support the needs of the operational components of the Department and the first responder community and address crosscutting areas such as standards and interoperability. The six thrust areas of research and development include: APEX Research and Development; Border Security; Chemical Biological, and Explosive Defense; Counter Terrorist; Cyber Security; and Disaster Resilience.

## **University Programs**

Supports critical homeland security-related research and education at U.S. colleges and universities to address high-priority DHS-related issues and to enhance homeland security capabilities over the long term. The program brings together scientists, mathematicians, and engineers from many academic disciplines and institutions. These researchers are investigating research questions important to DHS and developing new technologies and approaches to solve complex and challenging homeland security problems. The program focuses on building homeland security expertise in the academic community, creating strategic partnerships among universities and public agencies, and developing a new scientific workforce of homeland security experts. The primary customers for University Programs are the DHS S&T Directorate's divisions, the DHS component agencies, and Federal, State, and local government agencies.

## **Finance and Budget Division**

The Finance and Budget Division provides the S&T Directorate with high-quality, efficient, and cost-effective financial management services through four branches. The Budget Office develops long-term plans for resource allocation, execution plans, Congressional Justifications, and management of financial resources within the S&T Directorate. The Performance Branch develops and implements internal and external performance metrics for S&T Directorate programs, as well as risk assessment methodologies to help inform programming decisions. The Acquisition Branch develops the S&T Directorate's acquisition strategy, and manages the travel and purchase card programs. The Financial Operations Branch is dedicated to sound fiscal stewardship of the S&T Directorate's appropriations and reimbursable funding; timely and accurate budget execution, financial management and financial reporting. The Internal Controls Branch monitors programs and activities to provide assurance about the adequacy of internal controls within the S&T Directorate.

## **Administration and Support Division**

The Administration and Support Division provides critical infrastructure support to the S&T Directorate and is composed of seven components: Facilities, Human Capital Office (HCO), Office of the Chief Information Officer (OCIO), Office of the Chief Administrative Officer (CAO), Office of Administration and Audits, Central Security Office (CSO), and Readiness and Operational Coordination (ROC). In compliance with Presidential Directives, Federal Regulations and Department guidance, the Administration and Support Division provides support and continuous process improvement through problem identification and solution, sound policy and procedure development, and high-quality service.

## **Operations Analysis Division**

The Operations Analysis Division provides the S&T Directorate with a wide range of scientific and technical tools to inform planning and management activities. The division provides information to decision-makers and program managers resulting from research, studies, operational analyses, risk analyses, analytic and computational models, simulations, war-games, and experimentation events that it oversees. The division uses these technical and analytical support activities to establish baseline operational capabilities and goals, integrate policy and program planning, and inform management decisions and the development of strategic objectives. The Operations Analysis Division oversees the activities of the Homeland Security Studies and Analysis Institute (HSSAI), Homeland Security Systems Engineering and Development Institute (HSSEDI) and other S&T Directorate-sponsored

Federally Funded Research and Development Centers (FFRDCs), and the Homeland Security Science and Technology Advisory Committee (HSSTAC).

### **Corporate Communications Division**

The Corporate Communications Division communicates the objectives and status of homeland security technology programs, disseminates information regarding opportunities for private-sector entities (corporate and academic), and ensures that the media understands and accurately represents DHS technologies and programs. The Corporate Communications Division holds conferences and manages the S&T Directorate's presence at other information-sharing events to improve contact among technology developers, vendors, and acquisition personnel. They also promote the participation of colleges, universities, private research institutes, and companies (and consortia thereof) in the research process by disseminating information regarding research conducted or sponsored by the Department, and provide public-communication support to the S&T Directorate-sponsored Federally Funded Research and Development Centers.

### **Working Capital Fund**

Funds provided within the M&A appropriation are also used to acquire services through the DHS WCF, which includes: IT services, human resources, procurement operations, and financial systems. The WCF also provides consolidated subscriptions, government-wide mandated services, and DHS crosscutting activities.

#### **IV. Program Justification Changes**

**N/A**

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

*For salaries and expenses of the Office of the Under Secretary for Science and Technology, and for management and administration of programs and activities as authorized by title III of the Homeland Security Act of 2002 (6 U.S.C. 181 et seq.), \$138,008,000: Provided, That not to exceed \$10,000 shall be for official reception and representation expenses.*

#### **Explanation of Changes:**

No substantive changes included.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Science & Technology  
Management and Administration:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	<b>312</b>	<b>320</b>	<b>140,359</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>361</b>	<b>361</b>	<b>135,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
FY 2013 Pay increase	-	-	228
Increased Working Capital Fund costs	-	-	3,343
<b>Total, Increases</b>	-	-	<b>3,571</b>
<b>Decreases</b>	-	-	-
Management Efficiencies	-	-	(563)
<b>Total, Decreases</b>	-	-	<b>(563)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>3,008</b>
 <b>FY 2013 Current Services</b>	 <b>361</b>	 <b>361</b>	 <b>138,008</b>
 <b>Program Changes</b>	 -	 -	 -
 <b>Total, Program Changes</b>	 -	 -	 -
 <b>FY 2013 Requested Budget Authority</b>	 <b>361</b>	 <b>361</b>	 <b>138,008</b>
 <b>FY 2012 to FY 2013 Total Change</b>	 -	 -	 <b>3,008</b>

## C. Summary of Requirements

**Department of Homeland Security  
Science & Technology  
Management and Administration:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	312	320	140,359
<b>FY 2012 Enacted Budget Authority</b>	361	361	135,000
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	3,571
Decreases	-	-	(563)
<b>Total, Adjustments-to-Base</b>	-	-	3,008
<b>FY 2013 Current Services</b>	361	361	138,008
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	361	361	138,008
<b>FY 2012 to FY 2013 Total Change</b>	-	-	3,008

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Salaries and Expenses	361	361	135,000	-	-	3,008	-	-	-	361	361	138,008	-	-	3,008
<b>Total</b>	<b>361</b>	<b>361</b>	<b>135,000</b>	<b>-</b>	<b>-</b>	<b>3,008</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>361</b>	<b>361</b>	<b>138,008</b>	<b>-</b>	<b>-</b>	<b>3,008</b>

## D. Summary of Reimbursable Resources

### Department of Homeland Security Science & Technology Management and Administration: Summary of Reimbursable Resources (Dollars in Thousands)

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Collections by Source:</b>												
Citizenship & Immigration Services	-	-	3,825	-	-	6,419	-	-	7,639	-	-	1,220
Customs and Border Protection	-	-	8,437	-	-	-	-	-	-	-	-	-
Department of Agriculture	-	-	503	-	-	-	-	-	-	-	-	-
Department of Commerce	-	-	-	-	-	36,000	-	-	36,000	-	-	-
Department of Defense	-	-	5,516	-	-	123	-	-	146	-	-	23
Department of Education	-	-	-	-	-	423	-	-	504	-	-	81
Department of Justice	-	-	675	-	-	-	-	-	-	-	-	-
Department of State	-	-	959	-	-	931	-	-	1,108	-	-	177
Domestic Nuclear Detection Office	-	-	6,100	-	-	-	-	-	-	-	-	-
Federal Emergency Management Agency	-	-	10,783	-	-	25,669	-	-	30,546	-	-	4,877
Immigration and Customs Enforcement	-	-	388	-	-	4,861	-	-	5,785	-	-	924
National Protection and Programs Directorate	-	-	31,988	-	-	2,315	-	-	2,755	-	-	440
Office of Health Affairs	-	-	601	-	-	1,404	-	-	1,671	-	-	267
Office of Management	-	-	20,744	-	-	11,604	-	-	13,809	-	-	2,205
Transportation Security Administration	-	-	32,859	-	-	17,863	-	-	30,305	-	-	12,442
United States Coast Guard	-	-	4,170	-	-	5,227	-	-	6,220	-	-	993
<b>Total Budgetary Resources</b>	-	-	<b>127,548</b>	-	-	<b>112,839</b>	-	-	<b>136,488</b>	-	-	<b>23,649</b>

FY 2013 increase due to increased FFRDC contract ceiling.

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Acquisition and Operations Support	-	-	78,180	-	-	36,000	-	-	36,000	-	-	-
Laboratory Facilities	-	-	598	-	-	-	-	-	-	-	-	-
Research, Development, and Innovation	-	-	46,496	-	-	76,839	-	-	100,488	-	-	23,649
University Programs	-	-	2,274	-	-	-	-	-	-	-	-	-
<b>Total Obligations</b>	-	-	<b>127,548</b>	-	-	<b>112,839</b>	-	-	<b>136,488</b>	-	-	<b>23,649</b>



## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Science & Technology  
Management and Administration:**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	36,936	43,370	43,552	182
11.3 Other than full-time permanent	3,540	3,540	3,540	-
11.5 Other personnel compensation	1,508	1,508	1,508	-
12.1 Benefits	10,566	12,358	12,404	46
<b>Total, Personnel and Other Compensation Benefits</b>	<b>52,550</b>	<b>60,776</b>	<b>61,004</b>	<b>228</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	435	723	623	(100)
25.1 Advisory and assistance services	39,483	27,027	26,564	(463)
25.2 Other services	486	800	800	-
25.3 Purchases from Gov't accts.	39,831	40,447	43,790	3,343
25.4 O&M of facilities	153	156	156	-
25.5 R&D of contracts	2,350	-	-	-
25.7 Operation and maintenance of equipment	2,464	2,464	2,464	-
26.0 Supplies and materials	614	614	614	-
31.0 Equipment	1,993	1,993	1,993	-
<b>Total, Other Object Classes</b>	<b>87,809</b>	<b>74,224</b>	<b>77,004</b>	<b>2,780</b>
<b>Total, Direct Obligations</b>	<b>140,359</b>	<b>135,000</b>	<b>138,008</b>	<b>3,008</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>140,359</b>	<b>135,000</b>	<b>138,008</b>	<b>3,008</b>
<b>Full Time Equivalents</b>	<b>320</b>	<b>361</b>	<b>361</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
Science & Technology  
Management and Administration:  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	19	20	20	-
Total, EX	1	1	1	-
GS-15	136	145	145	-
GS-14	56	64	64	-
GS-13	16	22	22	-
GS-12	22	29	29	-
GS-11	16	27	27	-
GS-9	9	7	7	-
GS-8	3	5	5	-
GS-7	4	1	1	-
Other Graded Positions	30	40	40	-
<b>Total Permanent Positions</b>	<b>312</b>	<b>361</b>	<b>361</b>	-
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	320	361	361	-
Headquarters	320	361	361	-
<b>Total, Management and Administration:</b>	<b>320</b>	<b>361</b>	<b>361</b>	-
<b>Full Time Equivalents</b>	<b>320</b>	<b>361</b>	<b>361</b>	-
Average ES Salary	173,581	173,581	174,232	651
Average GS Salary	115,591	115,591	116,024	433
Average Grade	14	14	14	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Science & Technology  
Management and Administration:  
Salaries and Expenses**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	36,936	43,370	43,552	182
11.3 Other than full-time permanent	3,540	3,540	3,540	-
11.5 Other personnel compensation	1,508	1,508	1,508	-
12.1 Benefits	10,566	12,358	12,404	46
<b>Total, Personnel and Compensation Benefits</b>	<b>52,550</b>	<b>60,776</b>	<b>61,004</b>	<b>228</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	435	723	623	(100)
25.1 Advisory and assistance services	39,483	27,027	26,564	(463)
25.2 Other services	486	800	800	-
25.3 Purchases from Gov't accts.	39,831	40,447	43,790	3,343
25.4 O&M of facilities	153	156	156	-
25.5 R&D of contracts	2,350	-	-	-
25.7 Operation and maintenance of equipment	2,464	2,464	2,464	-
26.0 Supplies and materials	614	614	614	-
31.0 Equipment	1,993	1,993	1,993	-
<b>Total, Other Object Classes</b>	<b>87,809</b>	<b>74,224</b>	<b>77,004</b>	<b>2,780</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>140,359</b>	<b>135,000</b>	<b>138,008</b>	<b>3,008</b>
<b>Full Time Equivalents</b>	<b>320</b>	<b>361</b>	<b>361</b>	-

### Salaries and Expenses Mission Statement

The Management and Administration (M&A) appropriation provides for salaries and expenses related to 361 full time equivalent (FTE) personnel in Washington, D.C. This appropriation also provides for the operation of the S&T Directorate Washington, D.C. headquarters including business operations, contributions to the DHS Working Capital Fund, and other administrative costs associated with the management of the S&T Directorate and its resources.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	36,936	43,370	43,552	182
11.3 Other than full-time permanent	3,540	3,540	3,540	-
11.5 Other personnel compensation	1,508	1,508	1,508	-
12.1 Benefits	10,566	12,358	12,404	46
<b>Total, Salaries &amp; Benefits</b>	<b>52,550</b>	<b>60,776</b>	<b>61,004</b>	<b>228</b>

Includes an increase of \$228,000 for a 0.005% federal pay raise.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$435	\$723	\$623	-\$100

Includes a \$100,000 reduction due to travel efficiencies.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$39,483	\$27,027	\$26,564	-\$463

Includes a decrease of \$463,000 for a reduction in contractor support contracts.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$39,831	\$40,447	\$43,790	\$3,343

Includes an increase of \$3,343,000 for Working Capital Fund activities.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>282</b>	<b>320</b>	<b>361</b>
<b>Increases</b>			
Balanced Workforce	38	41	-
<b>Subtotal, Increases</b>	<b>38</b>	<b>41</b>	<b>-</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>320</b>	<b>361</b>	<b>361</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>38</b>	<b>41</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations Amount</b>	<b>FY 2012 Enacted Budget Authority Amount</b>	<b>FY 2013 Requested Budget Authority Amount</b>	<b>Increase/Decrease for FY 2013 Amount</b>
Salaries and Expenses	\$37,734	\$39,097	\$42,440	\$3,343
<b>Total Working Capital Fund</b>	<b>37,734</b>	<b>39,097</b>	<b>42,440</b>	<b>3,343</b>

## K. DHS Balanced Workforce Strategy

In order to establish a high performing workforce comprised of a strong internal core of Federal employees supported by the expertise of private contractors, the Department created the DHS Balanced Workforce Strategy. DHS is committed to establishing the appropriate mix of in-house and contract skills, experience and other resources necessary to balance the total DHS workforce. Pursuant to section 736 of Division D of the Omnibus Appropriations Act, 2009, P.L. 111-8, the Department is required to issue guidelines to DHS component agencies to facilitate consistent and sound application of this statutory requirement.

Through the DHS Balanced Workforce Strategy, the Department will ensure that only Federal employees perform work that is inherently governmental or otherwise needs to be reserved to the public sector to maintain control of and sustain agency operations, and obtains contract services when it is appropriate and cost-effective. After a workforce planning assessment the Department will realign contractor and/or Federal positions as necessary to achieve a balanced workforce. Assessing the workforce also allows managers to understand how contract employees are deployed throughout their organization and integrated with Federal employees to better realize the full potential of our total workforce – both contracted and Federal. A strong internal core of Federal employees will build in-house capacity and institutional knowledge that is essential for effective government performance.

Along with the statutory requirement to issue guidance to DHS components, Section 736 requires the Department to review all existing contracts in order to identify any functions currently being performed that should be reserved for Federal employees. As the Department has a large magnitude of contracts, all contracts have prioritized based on risk into Tiered ranking. The results of Tier 1 contract review are listed below. The results of the lower-priority contracts will post-date this budget submission and will be included in the FY 2014 budget.

THE SCIENCE AND TECHNOLOGY DIRECTORATE requests \$0.0 million and 0 FTP and 0 FTE for the FY 2013 DHS Balanced Workforce Strategy.

Position Type	FY 2011 Actual		FY 2012 Base		FY 2012 Annualization		FY 2012 Follow On		FY 2013 Increase		FY2011 – FY2013 DHS Balanced Workforce Strategy	
	Pos.	FTE	Pos.	FTE	Pos.	FTE	Pos	FTE	Pos.	FTE	Pos	FTE
Jurisdictional Coordinator	-	-	-	-	-	-	-	-	-	-	-	-
Financial Operations Analyst	-	-	-	-	-	-	-	-	-	-	-	-
Lead Systems Engineer	-	-	-	-	-	-	-	-	-	-	-	-
Lab Specialist	-	-	-	-	-	-	-	-	-	-	-	-
IT Specialist	8	8	-	-	-	-	-	-	-	-	-	-



GAO Analyst	2	2	-	-	-	-	-	-	-	-	-	-
Accounting Technician	2	2	-	-	-	-	-	-	-	-	-	-
Grants Analyst	1	1	-	-	-	-	-	-	-	-	-	-
Financial Analyst	4	4	-	-	-	-	8	8	-	-	8	8
Management / Program Analyst	21	21	-	-	-	-	33	33	-	-	33	33
<b>Total</b>	<b>38</b>	<b>38</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>41</b>	<b>41</b>	<b>-</b>	<b>-</b>	<b>41</b>	<b>41</b>

**FY 2013 DHS Balanced Workforce Strategy**

- Contractor conversions were completed in FY 2012.

**DHS Balanced Workforce Strategy Follow-On**

- N/A

# Department of Homeland Security

## *Science and Technology*

*Research, Development, Acquisitions, and Operations*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Science and Technology Research, Development, Acquisitions, and Operations**

### **I. Appropriation Overview**

#### **A. Mission Statement for Research, Development, Acquisitions, and Operations:**

The Science and Technology (S&T) Directorate's mission is to improve homeland security by working with partners to provide state-of-the-art solutions and/or technology that helps them achieve their missions. S&T partners and customers include the operating Components of the Department, other government agencies, State, local, tribal, and territorial emergency responders and officials.

The S&T Directorate ensures that DHS and the homeland security community have the science, technical information and capabilities they need to effectively and efficiently prevent, protect against, respond to, and recover from all-hazards and homeland security threats. The S&T Directorate develops state-of-the-art solutions to protect the Nation's people and critical infrastructure from chemical, biological, explosive, and cyber attacks.

The S&T Directorate accomplishes its mission through partner-focused and output-oriented research, development, testing and evaluation (RDT&E) programs that balance risk, cost, impact, and time to delivery. In a given year, the S&T Directorate funds approximately 153 projects annually. These RDT&E programs support the needs of the operational Components of the Department and the first responder community and address crosscutting areas such as standards and interoperability.

#### **B. Budget Activities:**

The Directorate has four RDT&E Program, Project, and Activities (PPA), each of which has an important role in implementing research and development activities. These four PPAs are: Acquisition and Operations Support; Research, Development, and Innovation; Laboratory Facilities; and University Programs. Research, Development, and Innovation has six major thrust areas.

##### Acquisition and Operations Support

Provides expert assistance to entities across the Homeland Security Enterprise (HSE) to ensure that the transition, acquisition, and deployment of technologies, information, and procedures improve the efficiency and effectiveness of the operational capabilities across the HSE mission. Acquisition and Operations Support has five major program areas: Operations Research and Analysis; Safety Act; Standards; Technology Transition Support; and Testing and Evaluation.

##### Laboratory Facilities

Manages the Laboratory Facilities programs. The Office of National Laboratories (ONL) provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland. ONL executes two programs: Construction and Lab Operations.

##### Research, Development, and Innovation (RD&I)

Provides state-of-the-art technology and/or solutions to meet the needs of the operational Components of the Department and the first responder community. Includes customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to delivery. The six thrust areas of RD&I include: APEX Research and Development; Border Security; Chemical, Biological, and Explosive Defense (CBE); Counter Terrorist; Cyber Security; and Disaster Resilience.

#### University Programs

Supports critical homeland security-related research and education at U.S. colleges and universities to address high-priority DHS-related issues and to enhance homeland security capabilities over the long term. The three program areas of University Programs include: Centers of Excellence, Education, and Minority Serving Institutions.

#### **C. Budget Request Summary:**

The S&T Directorate requests 130 positions, 130 FTE, and \$693,464,000 for Research, Development, Acquisitions, and Operations in FY 2013, an increase of \$160,464,000 from FY 2012 Enacted. The FY 2013 request reflects an increase in Maritime Border Security, Land Border Security, Chemical Attack Resiliency, Natural Disaster Resiliency, Information Sharing, and Counter Terrorist R&D and a \$0.071 million increase for a 0.005% Federal pay increase within Laboratory Facilities.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations**  
Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Acquisition and Operations Support	-	-	55,622	-	-	54,154	-	-	47,984	-	-	(6,170)	-	-	(6,170)	-	-	-
Research Development and Innovation	-	-	500,389	-	-	265,783	-	-	478,048	-	-	212,265	-	-	212,265	-	-	-
University Programs	-	-	51,803	-	-	36,563	-	-	40,000	-	-	3,437	-	-	3,437	-	-	-
Laboratory Facilities	130	130	156,753	130	130	176,500	130	130	127,432	-	-	(49,068)	-	-	-	-	-	(49,068)
<b>Total, Research and Technology</b>	<b>130</b>	<b>130</b>	<b>764,567</b>	<b>130</b>	<b>130</b>	<b>533,000</b>	<b>130</b>	<b>130</b>	<b>693,464</b>	-	-	<b>160,464</b>	-	-	<b>209,532</b>	-	-	<b>(49,068)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>130</b>	<b>130</b>	<b>764,567</b>	<b>130</b>	<b>130</b>	<b>533,000</b>	<b>130</b>	<b>130</b>	<b>693,464</b>	-	-	<b>160,464</b>	-	-	<b>209,532</b>	-	-	<b>(49,068)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Offsetting Collections	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>130</b>	<b>130</b>	<b>764,567</b>	<b>130</b>	<b>130</b>	<b>533,000</b>	<b>130</b>	<b>130</b>	<b>693,464</b>	-	-	<b>160,464</b>	-	-	<b>209,532</b>	-	-	<b>(49,068)</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Acquisition and Operations Support  
Program Performance Justification**

(Dollars in Thousands)

**PPA: Acquisition and Operations Support**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>55,622</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>54,154</b>
<b>2013 Current Services</b>	-	-	<b>54,154</b>
2013 Program Change	-	-	(6,170)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>47,984</b>
Total Change 2012 to 2013	-	-	(6,170)

The Science and Technology (S&T) Directorate requests \$47.984 million for Acquisition and Operations Support in FY 2013, which includes a \$6.170 million program decrease from FY 2012.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Acquisition and Operations Support (AOS) PPA** – FY 2012: \$54.154 million. FY 2013 request: \$47.984 million. Provides expert assistance to entities across the Homeland Security Enterprise (HSE) to ensure that the transition, acquisition and deployment of technologies, information, and procedures improve the efficiency and effectiveness of the operational capabilities across the HSE mission. This includes providing technological assessment of major acquisition programs in the Department of Homeland Security (DHS) to help ensure that technologies, concept of operations (CONOPS), and procedures meet operational requirements, technology analysis and technology review of analysis of alternatives at the beginning and throughout an acquisition program’s life; oversight of the test and evaluation of DHS major acquisition programs; standards to support the Homeland Security mission, and administration of the SAFETY Act program.

Acquisition and Operations Support major program areas are: Operations Research and Analysis; Safety Act; Standards; Technology Transition Support; and Testing and Evaluation.

**Operations Research and Analysis** – Provides science based analytic capability and capacity to DHS to better understand threats, the implications of major decisions, evaluates alternatives, improves DHS mission operations and the use of technology across the HSE, and improves the Department's risk management capabilities.

*Complex Event Modeling, Simulation, and Analysis (CEMSA) Project* – This project will offer significant improvements in modeling, simulation and analysis in wide variety of homeland security areas including better situational awareness to incident commanders, crowd evacuation at high impact events, DNA modeling for relationship identification and multimodal biometric identification. This will improve the timeliness, quality, and usability of information to aid in decision making during an event or situation. This project plans to build on the working prototype and work toward Initial Operating Capability for risk analysts with an increased number of models using live data.

**Development Partner(s):** IP, Homeland Infrastructure Threat and Risk Analysis Center (HITRAC)

**End-user(s):** White House, DHS, and other senior Federal decision makers and policy advisors and the governors of the States impacted by a specific disaster

*Future Capabilities Research and Development Project* – This project will improve forensic technology for the Department of Energy (DOE), National Intelligence Community (NIC), Science and Technology Intelligence Community STIC Members, Interagency Partners, and S&T Partners in support of national and homeland security through biometric surveillance and detection. The project supports research collaboration with external agencies and international partners.

**Development Partner(s):** University of Houston, University of Iowa

**End User(s):** Intelligence Community (IC)

*Homeland Security Studies and Analysis Institute (HSSAI)* – HSSAI is a Federally Funded Research & Development Center (FFRDC) that ensures the highest levels of objectivity and technical excellence by bringing together the expertise and outlook of government, industry, and academia to solve complex technical problems that no other organization can accomplish. HSSAI supports DHS Components by providing specialized technical expertise in a spectrum of mission critical capacities, to include independent program analyses and evaluation, targeted trade-off studies of mission-level goals and strategies; analyzing operations and operational requirements; assessing DHS organizations and their governance; and evaluating performance metrics to effectively meet the future challenges facing the nation. HSSAI plans to focus on analyses that will help improve the operational effectiveness of the HSE in an austere budget environment. This will include efforts to develop methodologies and processes to help the Components better identify their capability and programmatic requirements and integrate their common needs across the department, as well as continue to develop meaningful performance metrics across all homeland security operations and initiatives. HSSAI also plans to apply its technical analyses capabilities in key mission areas such as infrastructure resilience, cyber security, explosives, chemical and biological defense, and first responders.

**Development Partner(s):** HSSAI and multiple DHS Components

**End User(s):** Components and offices across DHS and the Homeland Security Enterprise (HSE)

*Identification and Assessments Project* – This project will improve the intelligence community's impact of global science and technology by providing the ability to identify global emerging and/or potentially disruptive technologies that will have a significant impact on homeland security. The project anticipates and defines potential threats emerging from new scientific and technological advances, and evaluates terrorists' innovative or novel use of existing technologies.

**Development Partner(s):** JASONS, Institute on Science for Global Policy (ISGP), Global Futures Forum

**End User(s):** Intelligence Community (IC)

*Intelligence, Surveillance, and Reconnaissance (ISR) Project* – This project will provide a new capability to Customs and Border Protection (CBP), Department of Defense (DOD), Federal Aviation



Administration (FAA), National Oceanic and Atmospheric Administration (NOAA), and the Transportation Security Administration (TSA), using surveillance radar systems to monitor the national airspace to detect, track, and interdict airborne threats in or entering our borders. This project supports research activities to improve the collection and dissemination of information using satellites, radars, sensors, and unmanned platforms in support of DHS Components and Northern Command.

**Development Partner(s):** CBP, DOD

**End User(s):** Intelligence Community (IC)

*Knowledge Management and Tech Foraging Project* – This program will enhance and grow the Directorate’s ability to identify and evaluate existing or developing technologies, services, and emerging trends. The goal of technology foraging is to expedite S&T’s speed of execution, maximize partnership opportunities, and assemble resources in order to positively impact the development of current or future homeland security solutions. This program plans to expand S&T’s technology foraging capabilities to provide “speed of execution” solutions across the Homeland Security Enterprise.

**Development Partner(s):** To Be Determined

**End User(s):** Homeland Security Enterprise

**Safety Act** – This program provides legal liability protections to manufacturers who develop and deploy qualified anti-terrorism technologies - equipped to save lives in the event of a terrorist attack. In accordance with the Support Anti-Terrorism by Fostering Effective Technologies (SAFETY) Act of 2002, this program removes barriers to industry investments that ensure potential manufacturers or sellers of effective anti-terrorism technologies can develop, deploy, and commercialize these technologies. Office of Safety Act Implementation (OSAI) plans to provide a means, via the SAFETY Act Program website, for the private sector and other program stakeholders to submit recommendations and comments for improving the SAFETY Act application review process, including suggestions for incentivizing the private sector to make additional investments in anti-terrorism technologies. OSAI also plans to include targeted outreach efforts for providers of anti-terrorism technologies that will support DHS programs, contracts, and initiatives, especially those relating to cyber security, transportation security and infrastructure protection. Additionally, OSAI plans to increase coordination with DHS Components, Federally Funded Research and Development Centers (FFRDCs), and National Labs to identify innovative technologies that would have SAFETY Act applicability.

There are three key areas of focus for OSAI: operations, outreach, and coordination.

*Operations* – OSAI evaluates the efficacy of candidate technologies based on criteria set forth in the Final Rule, considers the applicant’s current insurance situation, and advises DHS whether to issue SAFETY Act protections to the company.

*Outreach* – OSAI promotes homeland security technologies by raising public awareness about the benefits of liability protections available under the SAFETY Act, thereby expanding the creation, proliferation, and use of anti-terrorism technologies.

*Coordination* – OSAI coordinates the SAFETY Act application review process across DHS and with other Federal agencies to support these partners in their missions and to minimize the burden on applicants for SAFETY Act protection.

**Development Partner(s):** (1) Applicants for SAFETY Act coverage, who are those who sell or otherwise provide anti-terrorism technologies and services. In FY 2011, approximately 65% of those filing applications were from smaller business entities (annual revenues under \$50 million). (2) Government program and procurement officials who seek SAFETY Act coverage (via a Procurement Pre-Qualification Request or a Block Designation Request) for anti-terrorism technologies or services

procured (by contract) or developed (by program), as a means to incentivize private sector participation in the procurement or program.

**End User(s):** Generally, venue or facility owners and operators, whether private sector or government, including their security contractors. Protected facilities include critical infrastructure, transportation networks and structures (e.g., bridges and tunnels), commercial facilities, and entertainment and sporting venues nationwide.

**Standards** – Identifies standards needs and funds initial standards development to ensure technologies applied across the Homeland Security Enterprise (HSE) meet minimum operational needs and do so in a safe, effective, and actionable manner.

*Biological Countermeasures Standards Project* – This project supports an effective, coordinated response to bioterror incidents, supporting public safety with national operational guidance for local hazmat and law enforcement, emergency response officials, and on-scene coordinators. Working with other DHS Components and Federal agencies, this project has developed both validated technical methods and training curricula that encourage capability building at the jurisdiction level. This project will develop an integrated response to suspected biological incidents, fostering a coordinated response from first responder through law-enforcement, forensics, to eventual attribution. Through this project S&T is complying with the national strategy for chemical, biological, and explosive (CBE) standards released by the White House in May 2011. This project plans to complete draft performance specification standards for biological detection technologies according to capability (i.e., screening tools, autonomous monitors, portable and laboratory based PCR assays) and develop proficiency testing protocols in concert with users.

**Development Partner(s):** S&T Chemical/Biological Division, FEMA, National Institute of Standards and Technology (NIST), Centers for Disease Control and Prevention (CDC), Federal Bureau of Investigation (FBI), Environmental Protection Agency (EPA)

**End User(s):** National Guard Bureau, Public Health, First Responders

*Biometrics Equipment Standards Project* – This project develops standards that enable the exchange of biometric and forensic information between and among law enforcement, intelligence, defense, and homeland security agencies. These standards support the interoperability of major biometric recognition and forensic databases and systems at the Departments of Defense, Homeland Security and Justice; linking biometric data to passports, visa, and border-crossing records. This program develops standards that provide the most cost effective way to integrate and coordinate biometric information collection and dissemination in support of the homeland security enterprise. This project plans to initiate projects in biometric client technologies, latent fingerprint analysis, biometric quality, and biometric human factors and usability. This project also plans to complete standard performance specifications for multimodal biometric sensors.

**Development Partner(s):** S&T Human Factors Division, United States Visitor and Immigrant Status Indicator Technology (US VISIT), CBP, TSA, FBI

**End User(s):** TSA, CBP, FBI, Law Enforcement

*Cargo Security Technology Standards Project* – This project facilitates the flow of legitimate trade while advancing cargo and supply chain security. This project enhances the security of cargo in transit protecting people, goods, infrastructure, equipment, and transportation against security threats. This program develops the Standards that provide a cost effective way to make an impact with commercially available technologies to improve the security and tracking of cargo in transit.

**Development Partner(s):** S&T Borders and Maritime Division, CPB, NIST

**End User(s):** Port Authorities, private sector shippers & distributors, CBP

*Chemical Countermeasures Standards Project* – This project supports cost effective deployment of chemical countermeasure technologies at the Federal, State, and local level. Using cooperative efforts in both test method development and testing of hazardous agents, technologies developed by other agencies can transition effectively to homeland security applications. The current suite of ASTM International standards will provide manufactures, responders, and facility operators with performance specifications, testing criteria, and application guidance. Development of these standards is critical for informed procurement decisions across the entire homeland security enterprise. This project plans to implement a conformity assessment program for handheld and stationary chemical detectors. This project also plans to develop standards for the next class of chemical detectors.

**Development Partner(s):** S&T Chemical/Biological Division, DHS Office of Health Affairs (OHA), TSA, Department of Health and Human Services (HHS), CDC, EPA, Transit Agencies, InterAgency Board (IAB)

**End User(s):** Transit Agencies, First Responders

*Credentialing Standards Project* – This project increases the security and reliability of sharing first responder personnel credential information through the development of standards that provide the secure and private sharing of first responder information. This project ensures the proper access control, policy enforcement mechanisms, and trusted infrastructure needed when accessing emergency management resources for preparedness, response, and recovery.

**Development Partner(s):** S&T Human Factors Division, US VISIT, DHS Chief Information Office (CIO)

**End User(s):** CBP, TSA, Port Authorities, Law Enforcement

*Explosives Countermeasures Standards Project* – This project enables technologies that keep explosives out of transportation systems, Federal buildings, and critical infrastructure. Trace detection standards optimize screening through the development of calibration procedures and test materials for use by DHS Components and partners. Standards optimize both the screening protocols and detection technology effectiveness. This project plans to develop standard test materials and protocols for next generation deployed trace explosives detection equipment, including new and emerging explosive threats.

**Development Partner(s):** S&T Transportation Security Lab (TSL), S&T Explosives Division, TSA, NIST

**End User(s):** TSA, FPS, CBD

*Geospatial Information Systems (GIS) Interoperability Standards Project* – This project develops standards to address a number of homeland security requirements. The standards develop the necessary performance metrics for the emergency responder community to accurately evaluate personnel location during an emergency, as well as to ensure the firefighters' personal protection equipment is providing the essential protection needed in extreme environments.

**Development Partner(s):** DHS CIO, FEMA, NIST, IAB

**End User(s):** First Responders

*Human Systems Engineering Project* – This project will improve DHS Component Agency Acquisition personnel capability in designing and developing products in terms of human performance requirements by providing them with a standard process for applying Human Systems Integration (HSI) in the acquisition process per Management Directive 102 and the Systems Engineering Life Cycle (SELC). The project develops and defines requirements for systems, technologies, methods, and measures to influence and evaluate the design of human interfaces for new and existing technologies.

This project plans to demonstrate HSI analysis, design, T&E, and risk management processes on three additional DHS/S&T Directorate programs/projects.

**Development Partner(s):** NIST, National Institute for Occupational Safety and Health (NIOSH), OHA, USCG, ICE, CBP, DHS Domestic Nuclear Detection Office (DNDO)

**End User(s):** DHS Acquisition Community, Nationwide EMS Service Providers.

*Human Systems Research Project* – This project will improve Transition Partners’ capability to incorporate human performance requirements into technology and deployed systems by developing ways to maximize human performance across DHS end-user tasks and activities. The project maximizes the understanding of human performance to increase overall system efficiency and effectiveness. This project plans to complete research and develop recommendations for acquisition of advanced imaging displays; transition the final Human Performance Research Roadmap for aviation security operations to TSA; investigate human performance issues for DHS end users in the areas of Aviation Security and the First Responder.

**Development Partner(s):** TSA, DOD, National Aeronautics and Space Administration (NASA), Federal Aviation Administration (FAA)

**End User(s):** TSA Screeners, X-Ray Image Analysts, First Responders

*Infrastructure and Community Resiliency Standards Project (Formerly Personal Protective Equipment Standards project and Incident Management Training and Process Standards Project)* – This project safeguards the Nation’s responder community by ensuring a coordinated response to emergencies by developing standardized response plans and training for responders, localities, and communities. This suite of standards also develops performance-based design methodologies for buildings and infrastructures subjected to a variety of hazards and defined performance specifications, test methods to determine performance specifications, and guidance related to Federal, State, and local response to emergencies. This project plans to finalize standards for fire and arson resistance as well as complete regional resiliency planning standards, including radiological response planning standards.

**Development Partner(s):** National Institute of Building Sciences (NIBS)

**End User(s):** First Responders

*Mobile Platforms Project* – This project supports urban search and rescue and explosives countermeasures through standards for response robots. This suite of standards and test methods quantify the key capabilities of the robots, ensuring performance and responder safety. These test methods address responder-defined requirements for robot mobility, manipulation, sensors, communication, mapping, human-robot interfaces, logistics, and safety. This project provides uniform test methods to evaluate critical performance parameters in support of ongoing robot procurement actions. To date this project has advanced the state-of-the-art of response robot technologies worldwide. This project plans to expand test methods development to support bomb disposal robot platforms.

**Development Partner(s):** Department of Justice (DoJ), NIST, FEMA, S&T Explosives Division, Domestic and Military Explosive Ordnance Disposal (EOD)

**End User(s):** DOD, First responders

*Radio Frequency Identification (RFID) Project* – This project enhances the security and reliability of communications for RFID systems used to identify people and assets in homeland security applications by developing performance standards and guidance documents ensure the effectiveness of the wireless devices used by first responders. The standards and guidance documents will improve the performance, vulnerability, interference, and interoperability issues that occur with the wireless

devices in environments with electromagnetic or wireless interferences from other medical, commercial, and military equipment.

**Development Partner(s):** NIST, CBP, Department of State

**End User(s):** Port Authorities, First responders

*Sensor Network & Alert Systems Project* – This project improves the ability of first responders to access and receive information on chemical, biological, radiological, and nuclear (CBRN) sensor technologies interfaced with other instruments used to respond to developing events and incidents. This project standardizes device interfaces, facilitates seamless integration, and provides the necessary interoperability of CBRN devices with other equipment to first responders. This improves efficiencies in the deployment of new and existing CBRN sensor technologies and the integration of CBRN sensor reporting capability by developing a suite of sensor standards that describes a set of open, common, network-independent communication interfaces.

**Development Partner(s):** S&T Chemical/Biological Division, Infrastructure and Disaster Management Division, and First Responders Group; Open Geospatial Consortium; DoD, NIST; sensor manufacturers and developers

**End User(s):** S&T Chemical/Biological Division, FEMA, First responders

*Standards Infrastructure Project* – This project supports the development and use of standards that meet Departmental mission needs and enables our customers to procure and acquire reliable, interoperable, and effective technologies and processes. This project promotes and maintains relationships with standards-development organizations to ensure communication with and commitment to partnerships, as well as ongoing infrastructure such as databases and working groups.

**Development Partner(s):** American National Standards Institute (ANSI), American Society for Testing and Materials (ASTM), National Fire Protection Association (NFPA), Institute of Electrical and Electronics Engineers (IEEE), International Committee for Information Technology Standards (INCITS), IAB

**End User(s):** DHS Components using standards

*X-ray Screening Equipment Standards Project* – This project supports the standards that increase the performance reliability and ensure the radiation safety of next generation of X-ray scanners for personnel, baggage, and cargo screening applications and allows for the development of critical screening technologies in airports and other transportation modalities. The project develops standards that measure image quality, sensitivity, and contrast of imaging systems, to increase the ability to detect concealed explosives and other weapons under clothing. Additionally, these standards ensure safety of the general public and equipment operators. This project plans to complete international X-ray standards development on whole-body imaging technical performance and air cargo inspection.

**Development Partner(s):** S&T TSL, S&T Explosives Division, TSA, CBP, NIST

**End User(s):** TSA, CBP, Federal Protective Services, USSS

**Testing and Evaluation (T&E)** - Establishes policies and procedures and coordinates T&E resources to verify attainment of technical performance specifications and evaluate operational effectiveness/suitability prior to system deployment. T&E works to ensure DHS integrates a uniform and centrally managed departmental test and evaluation process into the systems engineering and acquisition lifecycle. The infrastructure area will assess, integrate, and coordinate DHS and non-DHS test assets to ensure adequate test capabilities are available to support DHS programs and projects.

*First Responder Technologies (SAVER) Project* – This project maintains an operational T&E program for First Responder Technologies to enable State and local agencies to purchase equipment that has

been rigorously tested against appropriate standards and certified for use. Based on First Responder needs, decision-makers will be able to better select, procure, use, and maintain commercially available responder equipment for their specific missions. This project plans to conduct objective assessments and validations on commercial equipment and systems from the prioritized product categories.

**Development Partner(s):** Space and Naval Warfare Systems Command (SPAWAR)

**End User(s):** First Responders

*Oversight T&E Activities for Special DHS Projects* – This project works directly with over 85+ DHS acquisition programs to assist in the development and execution of a robust T&E program that will lead to the evaluation of the program’s effectiveness and suitability. This project provides T&E oversight of all existing and emerging Level I and non-delegated acquisition programs. This project plans to continue providing T&E oversight of all existing and emerging Level I and non-delegated acquisition programs.

**Development Partner(s):** DHS Acquisition Programs (Program Managers, and Operational Test Agents)

**End User(s):** DHS Acquisition Programs and DHS Operators

*T&E Infrastructure Development Project* – This project provides DHS with a searchable database tool to identify existing testing infrastructure available for DHS use, such as facilities, equipment, and analytical capabilities, by creating an inventory of current T&E Infrastructure resources. The inventoried list provides the T&E community, program managers, and other potential users with details of available T&E facilities, resources, and capabilities, and will assist DHS T&E to identify infrastructure needs and eliminate excess. This project plans to maintain the DHS inventory and integrate Department of Defense (DOD) infrastructure and capabilities available for DHS use.

**Development Partner(s):** T&E Infrastructure Working Group (USCG, CBP, DNDO, ICE & DOD)

**End User(s):** DHS Program and Test Managers, DOD

*T&E Policy Analysis and Development Project* – This project develops T&E policies and procedures that define T&E activities required of all DHS Components throughout the system acquisition process to verify the attainment of technical performance specifications and evaluate operational effectiveness/suitability prior to system deployment. This project continually maintains and revises the T&E Directive, Guidebook, and training courses to reflect the current acquisition framework as well as lessons learned and comments from the Department. This project plans to continue to maintain and revise the T&E Directive, Guidebook, and training courses to reflect the current acquisition framework.

**Development Partner(s):** DHS Acquisition Programs (Program Managers and Operational Test Agents)

**End User(s):** DHS T&E and Acquisition Professionals

**Technology Transition Support** - Facilitates the transition and transfer of S&T Directorate solutions to customers. Activities involve integrating technology development efforts across S&T Directorate to develop the most cost effective and timely solutions and processes to meet customer requirements, including First Responders.

*Acquisitions Support and Operations Analysis* – Assists DHS Components in developing and institutionalizing up front systems analyses and developing robust operational requirements and analyses of alternatives for acquisition programs. It allows the S&T Directorate, in partnership with Components, to develop a framework and methodology for understanding the range of technology insertion points throughout the continuum of DHS missions and analyzes the relative return on

investment of technology applications to detecting, classifying, preempting, or mitigating threats at these different junctures as well as develop analyses of alternatives to ensure investments are made appropriately. This effort will allow in-depth analyses of multiple programs both on-going and proposed to develop systematic approaches, robust operational requirements and analyses of alternatives to ensure adequate programmatic planning and adherence to DHS Management Directive (MD-102), as well as appropriately planning to align with necessary operational test and evaluation milestones. This upfront effort will result in realistic and achievable programmatic goals that incorporate the best technical solutions and necessary testing to minimize risk and maximize performance.

**Development Partners:** DHS Components

**End Users:** DHS Acquisition Programs

*International Cooperative Programs* – International Cooperative Programs ensures access to the best global security technologies and leads and manages a worldwide, geographically dispersed organization in executing joint S&T programs of international scope and impact by leveraging the research and development capabilities of the international community. This program facilitates international cooperation between and among government agencies, the private sector, academic institutions, and non-profit entities to conduct research and to develop, test, and evaluate equipment, capabilities, technologies, and services that address the DHS mission. This program plans to maintain funded international research projects and the scientist and engineer exchange program and also plans to review arguments for and, if warranted, make recommendations for establishing one or more additional bilateral agreements.

**Development Partner(s):** U.S. Government agencies, international governments, and domestic and foreign partners from the private sector, academic institutions, and non-profit entities.

**End User(s):** U.S. Homeland Security Enterprise and international stakeholders in the civil/public safety and security community

*Interagency Programs (IAO)* – This program addresses high-priority homeland security needs through cooperative science, technology, research, development, testing, evaluation endeavors with other Federal agencies and leverages the capabilities and investments of external organizations. This program supports regional collaboration, assistance, and partnering efforts that provide perspective and project contributing partnerships. This program plans to conduct Regional Homeland Security Interagency Symposia or Table Top Exercises/Discussions to further strengthen DHS regional collaborative efforts and to collect customer/partner and private sector input on technology gaps and to communicate achievements; expand collaborative relationships and outreach with DHS regional components, customers/partners, private sector, as well as Federal executive departments and agencies to leverage RDT&E efforts and capabilities. Explore options for establishing an interagency exchange program; and expand DHS S&T HSARPA project success by supporting regional collaboration, assistance, and partnering efforts that provide perspective and contributing partnerships. Additionally, IAO plans to support planning for the DHS S&T co-sponsorship of a technology and concept important to the DHS and HSE through DOD's Joint Concept Technology Development program and will continue to promote and sponsor participation in DOD concept development and technology discovery experimentation.

**Development Partner(s):** Department of Defense, Naval Post Graduate School (NPS), US Air Force Academy, US Northern Command, Intel Corporation, IBM Watson Center, National Protection and Programs Directorate (NPPD), National Security Agency (NSA), Central Intelligence Agency (CIA), Department of Energy

**End User(s):** Federal Government Departments and Agencies, State and Local Government, First Responders, Private Sector, Academia

*Program Transition* – Establishes and implements a technology development program to focus near-term S&T work on the transitioning projects and capabilities needed by DHS operational Components, directorates and their external customers. This includes partnering with In-Q-Tel, the not-for-profit venture capital firm that invests in high-tech companies for the CIA, on projects for homeland security in high tech, cutting edge technologies such as DNA analysis, standoff explosives trace detection, cyber security, and secure covert surveillance. This program plans to administer a requirements-driven, delivery-oriented effort that draws upon technologies that can be developed, matured, and delivered to DHS acquisition programs, commercialized, or validated as a standard within a three year period.

**End User(s):** Homeland Security Enterprise



**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Laboratory Facilities  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Laboratory Facilities**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>130</b>	<b>130</b>	<b>156,753</b>
<b>2012 Enacted Budget Authority</b>	<b>130</b>	<b>130</b>	<b>176,500</b>
2013 Adjustments-to-Base	-	-	(49,068)
<b>2013 Current Services</b>	<b>130</b>	<b>130</b>	<b>127,432</b>
<b>2013 Total Requested Budget Authority</b>	<b>130</b>	<b>130</b>	<b>127,432</b>
Total Change 2012 to 2013	-	-	(49,068)

The Science and Technology (S&T) Directorate requests \$127.432 million for this activity in FY 2013. This includes an increase of \$.071 million for a 0.005% pay raise and an increase to Plum Island Animal Disease Center (PIADC) Operations and Maintenance activities in the amount of \$0.861 million. Also included is a non recur of \$50.000 million for NBAF. Current services supports continued operation of other DHS S&T Directorate facilities, as well as planned infrastructure upgrades.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Laboratory Facilities PPA** – FY 2012: \$176.500 million. FY 2013 request: \$127.383 million. The Office of National Laboratories (ONL) manages the Laboratory Facilities programs. ONL provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland.

The *Homeland Security Act of 2002* assigns ONL “the coordination and utilization of the Department of Energy (DOE) national laboratories and other sites under Section 309 in a manner to create a networked laboratory system for the purpose of supporting the missions of the Homeland Security Department”. In addition to oversight of the S&T Directorate’s laboratory operations, ONL coordinates homeland security-related activities and laboratory-directed research conducted within the DOE’s national laboratories.

ONL’s internal customers are the S&T Directorate’s executing divisions and components within DHS such as the Transportation Security Administration (TSA). The primary external Federal customers

are the United States Department of Agriculture (USDA) and the Federal Bureau of Investigation (FBI). ONL executes two programs: Construction and Lab Operations.

**Construction** – Oversees the planning, budgeting, and management of laboratory infrastructure construction and upgrade projects. Construction projects provide and maintain research and development (R&D) capabilities to support the missions of the S&T Directorate, the Department, and other government agencies that have interrelated homeland security missions. The investments include the construction of future laboratories, where a current capability does not exist, and upgrades to extend the life and capabilities of present laboratory facilities.

*Infrastructure Upgrades Project* – Ensures that S&T Directorate laboratories do not reach a point where dilapidated infrastructure or the lack of sufficient infrastructure prohibits conducting needed research and development. Capital upgrades are not routine operations and maintenance or expected upkeep but include new construction, renovation, remodeling, rebuilding, and outfitting space to allow scientists to pursue new capabilities based on customer requirements; and major overhauls of systems (electrical, water/sewage system) to ensure operability, safety, and security. This effort prevents an unmanageable and unaffordable situation where multiple key facilities require upgrades simultaneously.

In FY 2012, ONL will complete construction of the explosive bunker storage. In addition, a business case will be conducted to further evaluate the requirements and infrastructure investment needed to meet the mission needs. Also in FY 2012, ONL plans to upgrade facilities at the Transportation Security Lab (TSL) as part of the TSL Infrastructure Investment Program. In FY 2013, ONL plans to make critical upgrades at Plum Island Animal Disease Center (PIADC) facilities which could include the harbor, chiller plant, security, and information technology systems.

**Lab Operations** – Manages the operations and maintenance of the DHS laboratories and infrastructure.

*Chemical Security Analysis Center (CSAC) Facility Operations* – Develops and informs risk assessments related to national chemical defense. CSAC is located at the DOD Edgewood Chemical Biological Center (ECBC) in Aberdeen, MD. CSAC directly supports the S&T Directorate's Chemical and Biological Division, DHS Components such as the NPPD, and operates in cooperation with the FBI and DOD. CSAC also provides science and technology-based quality assured information of the chemical threat to support the unified national effort to secure the Nation. The DOD Sample Receipt Facility (SRF) at ECBC houses CSAC, providing the capability to integrate knowledge across the full chemical threat spectrum. Operation costs for this facility include rent, security, utilities, and information technology infrastructure.

*National Urban Security Technology Laboratory (NUSTL) Operations* - Provides testing and evaluation expertise to the S&T Directorate and other DHS components such as DNDO. NUSTL also is the DHS liaison for the deployment of experimental technologies in the New York City metropolitan area and provides technical support to the regional First Responder community. NUSTL is a government-owned, government-operated laboratory located in the Borough of Manhattan in New York City. In FY 2011, ONL conducted the remaining environmental cleanup to return excess space to GSA and move NUSTL to smaller facilities. The move will reduce rent and operational costs. The laboratory will transition in to the new offices by the end of the second quarter of FY 2012. GSA requirements for final cleanup include, the final disposal of contaminated materials and removal of fume hoods, large exhaust ducting, furnaces, and other equipment that are legacy from DOE activities. Operations costs include rent, security, and utilities.

*National Biodefense Analysis and Countermeasures Center (NBACC) Operations* – NBACC is located at Fort Detrick, MD and is part of the National Interagency Biodefense Campus that includes Health and Human Services (HHS), DOD, and USDA and provides the capability to characterize current and future biological threats, assess their impacts, and inform the development of countermeasures and vaccines. NBACC also conducts bioforensic analysis of evidence from biocrimes and terrorism to support law enforcement’s efforts to attribute crimes to the perpetrators. The unique missions of threat characterization and bioforensics enhance the Nation’s overall biodefense capabilities. NBACC closely collaborates with the FBI and other law enforcement agencies. Discussions are ongoing with DOD for potential use of NBACC in cooperative biodefense Medical Countermeasure Test & Evaluation. Such an arrangement would offer significant advantages to both Federal Agencies and allow NBACC to utilize existing capacity to perform work needed by DOD. The S&T Directorate operates NBACC as a Federally Funded Research and Development Center (FFRDC). The FFRDC plans, manages, and executes the NBACC research programs and operates the facility. Major operations costs include NBACC management through the FFRDC, security, equipment/furnishings, utilities and site services, fees, and insurance.

*National Bio and Agro-Defense Facility (NBAF)* – NBAF is envisioned as a state-of-the-art biocontainment facility for the study of foreign animal, emerging and zoonotic (transmitted from animals to humans) diseases that threaten the U.S. animal agriculture and public health. For the past 50 years, the Plum Island Animal Disease Center (PIADC) has served our nation as the primary facility to conduct this research. However, PIADC is nearing the end of its life-cycle and S&T needs to ensure the continued development of timely countermeasures in the event of an outbreak. NBAF, as envisioned, will address this need and will serve as a replacement for the PIADC facility. Strategically, NBAF will have new and expanded capabilities including Biosafety Level (BSL) 4 containment for the study of high-consequence diseases affecting large livestock.

Specifically, NBAF will meet its mission by:

- Providing enhanced research capabilities to diagnose foreign animal, emerging and zoonotic diseases in large livestock
- Providing expanded vaccine and countermeasure development capabilities for large livestock
- Replacing and expanding research currently done at the Plum Island Animal Disease Center (PIADC) in New York, and continuing the partnership between the Department and the U.S. Department of Agriculture (ARS) and (APHIS)

The following diseases would be studied at NBAF which would require BSL-3 and BSL-4 laboratory capabilities:

- Nipah Virus
- Hendra Virus
- African Swine Fever
- Rift Valley Fever
- Japanese Encephalitis Virus
- Foot and Mouth Disease
- Classical Swine Fever
- Contagious Bovine Pleuropneumonia

Since 2009, S&T has been planning for and completing the final designs of the NBAF. To ensure that NBAF is the most effective method to protect our Nation’s agriculture infrastructure and public health,

DHS, beginning in FY 2012, will convene an expert and stakeholder taskforce, in conjunction with the interagency, to conduct a comprehensive assessment of whether and for what purpose a BSL 4 facility should be stood up. This taskforce will consider current threats from terrorism, foreign animals and the global migration of zoonotic diseases to U.S. agriculture. This assessment will also review the cost, safety, and any alternatives to the current plan that would reduce costs and ensure safety within the overall funding constraints established by the Budget Control Act.

*Plum Island Animal Disease Center (PIADC) Operations* – PIADC is located on Plum Island, off the eastern end of Long Island, New York and conducts research on contagious animal diseases (e.g., foot-and-mouth) identified in other countries. PIADC’s mission is to develop strategies and vaccines to protect the Nation’s animal industries and exports from foreign animal diseases accidentally or deliberately introduced into the United States. DHS and USDA jointly perform the R&D work at PIADC. Both organizations have a research presence, including laboratory employees, but DHS is responsible for the operations and maintenance of the facility. The combined work of both agencies supports the S&T Directorate’s agro-terrorism countermeasures programs. Research at the facility occurs in BSL-2, BSL-3, and BSL-3Ag laboratory spaces. The laboratory is a self-sustaining operation, with its own power plant, fuel storage, fire protection, waste disposal, and security systems. The S&T Directorate also provides the only ferry transport to and from the island and is responsible for operating and maintaining the ferries, docks, and harbor. The S&T Directorate provides the day-to-day operational support, including the operations work force. Major operation costs include security, an Operations & Maintenance contract, utilities, and fuel.

*Salaries and Benefits* – Funds salaries and benefits for non-Headquarters, Federal employees located at the S&T Directorate’s field laboratories. These employees operate and execute programs at the DHS S&T Directorate Laboratories in support of S&T Directorate divisions and DHS Components.

*Transportation Security Laboratory (TSL) Operations* – TSL is located at the Federal Aviation Agency (FAA) William J. Hughes Technical Center in Atlantic City, N.J. TSL performs research, development, and validation of solutions to detect and mitigate the threat of explosives. TSL is an RDT&E laboratory that develops promising technologies to the point of operational test and evaluation. TSL supports the S&T Directorate’s Explosives Division and TSA. The real property and facilities belong to FAA. Major operations costs include rent, buildings maintenance, utilities, security, and information technology.

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Research Development and Innovation  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Research Development and Innovation**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>500,389</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>265,783</b>
<b>2013 Current Services</b>	-	-	<b>265,783</b>
2013 Program Change	-	-	212,265
<b>2013 Total Requested Budget Authority</b>	-	-	<b>478,048</b>
Total Change 2012 to 2013	-	-	212,265

The Science and Technology (S&T) Directorate requests \$478.048 million for Research, Development and Innovation in FY 2013, which includes a \$212.265 million program increase from FY 2012 funding levels to fund vital homeland security related R&D projects. In 2013, S&T will collaborate more closely with DHS’ operating component to speed the delivery of new technologies to the field.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**Research, Development, and Innovation (RD&I) PPA** - Provides state-of-the-art technology and/or solutions to meet the needs of the operational Components of the Department and the first responder community. Includes customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to delivery. The six thrust areas of RD&I include: APEX Research and Development; Border Security; Chemical, Biological, and Explosive Defense; Counter Terrorist; Cyber Security; and Disaster Resilience.

**Apex Research & Development Thrust** – FY 2012: \$14.000 million. FY 2013 request: \$15.000 million. Consists of cross-cutting, multi-disciplinary efforts requested by DHS Components. Apex projects are high priority, high-value, and short turn-around in nature.

*Science & Technology Operational Research and Enhancement Program (STORE)* – Partners with the United States Secret Service (USSS) to better integrate technology with human networks protecting government leaders and designated personnel traveling across the country. STORE has two primary goals: (1) Implement new and existing technologies that are lightweight, efficient, modular, and portable to more effectively maintain control of cleared areas while extending protective capabilities

beyond the physical boundaries. STORE will integrate these technologies, including communication and various detection systems, to optimally work together to support human processes; (2) Help USSS establish a sustainable plan to rigorously analyze and measure their effective use of technology, consider emerging threats, and make technology refresh decisions to guide future acquisitions. This project plans to transition STORE technology prototypes and knowledge products including acquisition and engineering processes, procedures, findings, and best practices.

**Development Partner(s):** USSS. Additionally, leveraging existing development work being done by Department of Defense (DOD), Intelligence Community, and Department of Energy (DoE).

**End User(s):** USSS (Office of Protective Operations, Offices of Investigations, Office of Technical Development and Mission Support, Office of Human Resources and Training, Office of Administration)

**Border Security Research & Development Thrust** – FY 2012: \$15.734 million. FY 2013 request: \$31.652 million. DHS is responsible for securing the borders, territorial waters, ports, terminals, waterways, and air, land, and sea transportation systems of the United States. The S&T Directorate invests in the research and development of border security technology to: prevent the illicit movement and illegal entry or exit of people, weapons, dangerous goods, and contraband; manage the risk posed by people and goods in transit; and disrupt and dismantle transnational criminal organizations.

**Land Border Security Program** – Develops and transitions technical capabilities that strengthen U.S. land border security by safeguarding lawful trade and travel; and disrupting and dismantling transnational criminal and terrorist organizations.

**Air Based Technologies Project** – This project will provide dominant airborne sensor capabilities for the Customs and Border Protection (CBP) Office of Air and Marine (OAM), the US Coast Guard (USCG) Office of Aviation Forces (CG-711), and the external First Responder Community by providing and enhancing end-to-end sensor solutions for airborne detection, identification, and classification of illicit activity, including low-observable air and water craft. The project meets the Component's needs by identifying and quantifying current capability gaps and sensor requirements, by conducting flight test and evaluation (T&E) in real operational environments, and by developing the associated Concept of Operations (CONOPs). For sensors that will or may be deployed on unmanned aircraft systems (UAS), this program will use previously-developed (in collaboration with FAA and DOD) modeling and simulation tools to ensure the relevant UAS platforms have access to the National Airspace System (NAS). This project plans to establish SUAS preliminary operational requirements document (PORD) and CONOPS, and continue wide-area surveillance and small UAS flight test and evaluation programs for DHS operational Components and for the external First Responder user communities.

**Development Partner(s):** Massachusetts Institute of Technology/Lincoln Lab (MIT/LL)

**End User(s):** Customs and Border Patrol (CBP) Office of Air and Marine (OAM), US Coast Guard (USCG) Office of Aviation Forces (CG-711), First Responder Community

**Border and Maritime Systems Basic Research Project** – Researches technical borders and maritime capabilities that enhance homeland security without impeding the flow of commerce or travel and address current gaps in border and maritime systems, including studying and analyzing emerging threats.

**Development Partner(s):** Stevens Institute, National Renewable Energy Lab, University of Arkansas

**End User(s):** CBP and USGC

*Complex Systems Analysis Basic Research Project* – Generates the fundamental knowledge and conceptual development to prototype new concepts, supporting methods, and tools necessary to advance understanding and inform capability development to effectively address complex system problems. The project studies the role of advanced modeling and simulation in assessing effectiveness in streamlining and enhancing DHS-SBI (Secure Border Initiative) decision making in a complex environment.

**Development Partner(s):** Old Dominion University

**End User(s):** CBP

*Ground-Based Technologies Project* – This project will improve CBP’s ability to detect illegal incursions along US terrestrial borders by developing advanced sensors and surveillance systems. The project performs research, development, tests, and evaluation of algorithms and sensors such as radars, imagers, Unattended Ground Sensors (UGS), and tripwires for detecting, tracking, and classifying slow moving targets in difficult terrain and all weather. This project’s goal is to improve overall border security and agent safety by improving agent surveillance capabilities through increased sensor detections and lower false alarm rates. Assessment results will provide the CBP Office of Technology Innovation and Acquisition (OTIA) with performance information on state-of-the-art sensors to assist in requirements development and acquisition planning. Beginning in FY 2013, the Northern Border Test Bed project will become a subset of this project, which provides the infrastructure in the CBP Swanton Sector to field test and evaluate Ground-Based Technology sensors and surveillance systems in an operational, in situ, northern border environment. The testbed reduces acquisition risk for CBP while enabling agent training and tactics development. This project plans to provide a final report on the advanced prototype camera poles, while continuing to test, evaluate and demonstrate advanced sensor technologies.

**Development Partner(s):** Naval Research Laboratory (NRL); Massachusetts Institute of Technology/Lincoln Laboratories (MIT/LL); Advanced Technology Systems Corp (ATSC);

**End User(s):** CBP

*Northern Border Test Bed Project* – The test bed provides the infrastructure to evaluate sensor and surveillance technologies (from the Ground Based Technology project) in an operational environment, specifically CBP Swanton Sector. Maximizing the use of existing infrastructure, the project reduces risk for full-scale development, informs product acquisition efforts, assesses the utility to local field operations, and informs development/modification of Concept of Operations as necessary. The test bed enables agent training and tactics development, as well as testing of developmental hardware in the operational environment such as detection sensors, multi-sensor integration, and wireless connectivity. Project subsumed by the Ground Based Technology Project beginning in FY 2012.

**Development Partner(s):** CBP

**End User(s):** CBP

*Sense and Avoid Systems (S&A) for Unmanned Aerial Systems (UAS) Project* – This project provides CBP and USCG with improved land and maritime domain awareness, as well as wide area surveillance by facilitating the deployment of unmanned aircraft. The project will develop a mid-air collision sense-and-avoid capability to allow unmanned aircraft to operate in civil airspace and demonstrate using a combination of models and flight tests. It also establishes a test bed for evaluating sense-and-avoid systems in realistic, user-relevant settings. This project plans to draft a roadmap for Small Unmanned Aircraft Systems (SUAS) access to the national airspace system, including safety case for Federal Aviation Administration (FAA), as well as test and evaluate SUAS in operational environments, and develop knowledge and information data bases to enable first responder safety cases for national airspace access.

**Development Partner(s):** Massachusetts Institute of Technology/Lincoln Lab (MIT/LL)

**End User(s):** CBP, FAA, DOD

*Small Dark Aircraft Project* – This project will enhance CBP capabilities to consistently detect and track small aircraft (helicopters, ultra-light and fixed wing) at or before crossing the border to enable successful interdiction of illicit cargo. The approach taken is: (a) assess current U.S. detection capabilities, (b) determining capability gaps that can be addressed by technical means, and (c) identifying/integrating/developing relevant technologies. This project plans to demonstrate emerging technologies that could support detection, discrimination, and tracking of low observable small dark aircraft. This project also plans to set up a pilot program and demonstrate advanced detection capability at a northern border location.

**Development Partner(s):** CBP, US Air Force, Stevens Institute of Technology, MITRE

**End User(s):** CBP Air and Marine, CBP Border Patrol

*Tunnel Activity Monitoring Project* – Public infrastructure storm drains and sewers are being used as conduits for smuggling and illegal entries. This project will design, fabricate, test, install, and operationally evaluate a system that will provide persistent surveillance of human activities in public tunnels. The technology focus is miniaturized, long-life sensors and software to self-adjust to urban background noise, robust relayed communications, and command center displays that pinpoint detections on a city map. This project plans to complete installation of a southern border pilot. This will be followed by a one year operational assessment by CBP.

**Development Partner(s):** MIT/LL

**End User(s):** CBP

*Tunnel Detection Project* – This project will develop technology to enable CBP and ICE to reliably detect tunnels to prevent contraband and illegal immigrant smuggling using clandestine tunnels by using modeling and simulation techniques to predict the effectiveness of the most promising tunnel detection technologies. The project will first develop data sets that accurately represent the geological/geophysical characteristics of the US-Mexican border where tunneling is most probable. The project will then develop physical interaction models for the most promising sensor technologies to generate performance predictions using the geological/geophysical data. The performance predictions will inform CBP of which tunnel detection technology or a combination thereof works best in specific locations along the border, in order to assist CBP's acquisition planning. This project plans to develop geological/geophysical data sets of areas along the US-Mexican border where the probability of tunneling is highest, develop physical interaction models of the most promising sensor technologies, and exercise the physical sensor models to generate performance predictions. This project also plans to develop sensor database and models to inform CBP Field Ops which sensor types work in the most probable locations, provide CBP Acquisition scientific-based data regarding what sensors have the best overall performance and their geographic extent of use and confidence level, and enable targeted research to improve sensor development.

**Development Partner(s):** Homeland Security Systems Engineering and Development Institute (HS SEDI)/MITRE, U.S. Army Corps of Engineers Engineering Research and Development Center (USACE ERDC), U.S. Geological Survey (USGS)/Kansas University, Defense Threat Reduction Agency (DTRA)/Raytheon-UTD

**End User(s):** CBP, ICE

*Maritime Border Security Program* – Develops and transitions technical capabilities that enhance U.S. maritime border security by safeguarding lawful trade and travel and disrupting and dismantling transnational criminal and terrorist organizations.



*Advanced Fusion Technologies Project* – This project enhances CBP and USCG abilities to quickly detect, localize, and track maritime threats by developing capabilities to fuse information from multiple data sources, including law enforcement and commercial databases. The project addresses United States Coast Guard and CBP capability gaps and provides better situational awareness for effective decision-making in complex and dynamic environments.

**Development Partner(s):** Space and Naval Warfare Systems Center Pacific (SSC Pacific)

**End User(s):** CBP, USCG

*Port and Coastal Surveillance Improvement Project* – This project will bridge gaps in USCG's maritime situational awareness, security effectiveness, and safety by providing a persistent and pervasive maritime surveillance capability that identifies small vessels at a sufficient range (for law enforcement response) in the port/harbor/coastal environment. The project develops, tests, and demonstrates technologies to detect, track, and identify large and small vessels in port and coastal regions. It will integrate existing and new vessel track sources/data to develop a maritime unclassified common operating picture (COP). This project plans to upgrade existing sensors and networks to enable additional new vessel track data sources, and network them into Coastal Surveillance Systems and complete the operational demonstration/pilot of the Small Vessel Tracking System (SVTS) and transition the system to operating Components.

**Development Partner(s):** Naval Research Lab, Naval Surface Warfare Center/Crane, Naval Undersea Warfare Center/Newport, Massachusetts Institute of Technology/ Lincoln Lab, Stanford Research Institute, National Center for Secure and Resilient Maritime Commerce

**End User(s):** USCG, CBP

*Port Security Test Bed Project* – This project enhances data integration and sharing between DHS operating Components. The project validates requirements and evaluates technologies for advanced sensors, data sharing and data control for seaports.

**Development Partner(s):** Space and Naval Warfare Systems Center Pacific (SSC Pacific)

**End User(s):** USCG Interagency Operations Centers (IOC), CBP Air Maritime Operations Center (AMOC), CBP Office of Technology Innovation and Acquisition, and CBP Office of Field Operations / Ports

*Small Boat Harbor Surveillance (SBHS) Project* – This project will improve USCG's and CBP's ability to monitor small boat activity that cannot be done now. The project will enhance port security, situational awareness and enable effective, timely law-enforcement response by tracking small boats, detecting anomalous behavior, and providing actionable information to law enforcement. The project conducts market research of commercial off-the-shelf/government off-the-shelf (COTS/GOTS) technologies, tests and evaluates prototypes, and demonstrates technologies to track small boats in harbors and port environments. This project will articulate and validate unmet SBHS needs then identify, prototype and test affordable platforms and sensors that address those needs. This project was combined with the Port and Coastal Surveillance Improvement Project in FY 2012.

**Development Partner(s):** Naval Research Lab, Naval Surface Warfare Center/Crane

**End User(s):** USCG, CBP

*Small Dark Vessels Project* – This project will develop capabilities to detect, identify, track, and interdict small dark vessels (primarily submersibles) by identifying, integrating, and tailoring sensors across the electromagnetic and acoustic spectrum. The project includes near-term development and long-term basic research of technologies that attack specific target vulnerabilities in order to administer

the most effective countermeasures. This project plans to demonstrate emerging technologies that support detection, identification, tracking, and interdiction of low observable maritime vessels.

**Development Partner(s):** Multiple DOD and Intelligence Community

**End User(s):** CBP, USCG, ICE, Joint Interagency Task Force South (JIATF-S), Maritime Intelligence Fusion Center, Pacific (MIFPAC)

*Wide Area Surveillance (WAS) Project* – This project will provide Federal, State, and local agencies high-resolution, real-time forensic surveillance of threats posed by individuals, objects, or vehicles in densely populated infrastructure settings by establishing a system that provides a 360-degree field-of-view with real time capabilities using novel sensors and systems. The project will develop a persistent WAS capability, provide advanced video analytics capabilities to enhance operational use, and integrate information associated with the detection, tracking, and classification of vessel traffic offshore. This project was combined with the Port and Coastal Surveillance Improvement Project in FY 2012.

**Development Partner(s):** Naval Research Lab, Naval Surface Warfare Center/Crane

**End User(s):** USCG, CBP

*Cargo Security Program* – Develops technologies to ensure the integrity of cargo shipments (including sea, air, and land conveyance) and enhances the end-to-end security of the supply chain, from the manufacturer of goods to final delivery. This work will reduce the risk of terrorists manipulating cargo as it conveys across various transit modes in the international supply chain.

*CanScan Project* – This project seeks to enhance detection of contraband items (e.g., drugs, currency, firearms) or human trafficking in shipping containers and trucks by deploying imagery, identification, and radiography technologies in a mobile platform. The project develops a next-generation, non-intrusive radiography system in a revolutionary coupling with neutron material discrimination and resolution technologies to scan containerized cargo and reduce false alarms and secondary inspections. The project has been cancelled and will conclude with the Preliminary Design Review (PDR).

**Development Partner(s):** Space and Naval Warfare Systems Center Pacific (SSC Pacific)

**End User(s):** CBP and DHS Policy

*Composite Container Project* – This project will enhance end-to-end global cargo security by developing a secure shipping container with embedded security sensors to detect tampering and intrusions from the point-of-consolidation to the point-of-deconsolidation in the maritime supply chain. The project tests and evaluates hybrid composite materials against International Standards Organization (ISO) structural requirements to build a next generation container using alternative light-weight composite materials. It also develops and evaluates the sensors and communications devices which will be embedded within the container walls, doors, ceiling, and floor.

**Development Partner(s):** Maine Secure Composites (MSC) and Georgia Tech Research Institute (GTRI) are the performers for this project

**End User(s):** CBP, DHS Policy (with respect to Standards)

*Maritime Supply Chain Secure Transit Demonstration Project* – This project will demonstrate the technological capability and practical feasibility of securing maritime cargo while in transit. This demonstration will integrate previously developed security appliances including Container Security Device (CSD), Marine Asset Tag Tracking System (MATTS), Network Access Device (NAD), and Data Consolidation Point (DCP) functionality into a cohesive system. The project will also allow DHS S&T and CBP to determine the efficacy of such an integrated system, better understand the different requirements and concept of operations to support cargo security on diverse marine supply routes, as

well as validate the open standards selected and/or developed for the system components. This project plans to: initiate a demonstration in conjunction with transoceanic trading partner(s).

**Development Partner(s):** CBP Office of Technology Innovation and Acquisition (OTIA)/Office of Field Operations (OFO), DHS Policy

**End User(s):** CBP OFO, Maritime Shippers, DHS Policy

*Safe Container (SAFECON) Project* – This project enhances CBP’s ability to detect weapons of mass destruction, explosives, contraband, and humans in maritime shipping containers by leveraging high reliability, high-throughput sampling and detection technologies. The Container Security Test Bed (CSTB) has been developed and is available to industry and government for testing, experimentation, and evaluation of detection technology in a realistic environment.

**Development Partner(s):** MIT Lincoln Laboratory, Pacific Northwest National Laboratory (PNNL), Volpe National Transportation System Center, Research International Inc., L3 Services Inc, ICX Technologies, Jet Propulsion laboratory (JPL)

**End User(s):** CBP Office of Field Operations (OFO)

*Supply Chain Secure Transit Corridors Technology Demonstration Project* – This project will provide CBP with security visibility of cargo conveyances entering the U.S. by evaluating an Electronic Chain of Custody (ECoC) security system on four supply chain routes from Canada and Mexico. The ECoC system will detect unauthorized door openings and other anomalies as well as provide encrypted in-transit tracking throughout the international supply chain. The goal of the project is to help CBP determine the ECoC’s efficiency, concept of operations for different supply routes, as well as provide an immediate interim operational capability. Furthermore, the project will provide CBP with performance standards to create an infrastructure that enables secure transit corridors for Customs-Trade Partnership Against Terrorism (C-TPAT) Tier III members. This project plans to transition the standards and provide a leave-behind capability.

**Development Partner(s):** SPAWAR Systems Center Pacific (SSC Pacific), and Sandia National Labs

**End User(s):** CBP Office of Field Operations (OFO)

**Chemical Biological, and Explosive Defense Research & Development Thrust** – FY 2012:

\$126.555 million. FY 2013 request: \$197.688 million. S&T Directorate invests in research & development to support threat awareness, prevention, and protective strategies, coordinated surveillance and detection, response and recovery initiatives to address chemical, biological, and explosive threats. Efforts include: prevention of terrorism; prevention of the unauthorized use of Weapons of Mass Destruction (WMD) within the U.S.; reduction of vulnerability of critical infrastructure from terrorist attacks and other hazards; prevention of the illicit movement and illegal entry or exit of people, weapons, dangerous goods, and contraband; and, coordination with local and regional partners to identify hazards, assess vulnerabilities, and develop strategies to manage the risks associated with man-made hazards.

*Bioagent Detection Program* – Conducts research, develops, and/or identifies tools to enable rapid detection and provide advanced warning of attacks or releases of biological threat agents against the population and agriculture of the United States. Defines the intended use and application, develops the requirements, and executes the technology developmental efforts to support early detection and warning of potential bioagent threats to humans and animals.

*Agricultural Screening Tools Project* – This project will improve the ability of U.S. Government agencies such as United States Department of Agriculture (USDA) and Federal Drug Administration (FDA) to screen for and detect high priority foreign animal diseases that threaten the U.S. agricultural

critical infrastructure by developing and standardizing protocols and tools. It focuses on the development of standardized technologies; to include immunoassay-based approaches and real-time polymerase chain reaction (PCR) to identify animals infected with high priority foreign animal diseases. This project plans to develop and deploy screening tools to the National Animal Health Laboratory Network (NAHLN) for the detection of foreign animal diseases including foot-and-mouth disease, classical swine fever, and rift valley fever.

**Development Partner(s):** United States Department of Agriculture (USDA)

**End User(s):** Department of Homeland Security Customs and Border Patrol (DHS CBP), USDA, Animal/Agricultural Producers

*Bioassays Project* – This project will improve the Nation’s ability to screen and monitor for multiple pathogens in the event of a bio-attack. This project develops rapid detection assays to recognize biological threat agents and toxins in support of the National Bio-Monitoring Architecture (NBMA), Public Health Surveillance through the Public Health Actionable Assay initiative, and the Integrated Consortium of Laboratory Networks (ICLN) event detection, characterization, and mitigation. S&T is also developing bio-informatics resources, reference strain repository, antibody repository, and standards. These resources and activities will evaluate and support use of Public Health Actionable Assays (PHAA) validated by Centers for Disease Control (CDC) Laboratory Response Network (LRN) for initiating public health response based on environmental sensing. It will also promote interoperability and unified operational concepts for US government-deployed systems through the establishment of Federal Standards for Assay Performance and Equivalency. Finally, the bioassays project will evaluate novel approaches to recognize and identify emerging threats. As part of this project, the bioinformatics effort continually assesses the evolution of our knowledge of the genetics of environmental organisms to determine whether existing assays require reformulation to maintain their intended selectivity. This project plans to fully transition the testing of first responder tools in partnership with the Office of Health Affairs (OHA). This project also plans to expand definition of key antigenic signatures and develop new reagents and assays to detect emerging, enhanced, and advanced biological threat agents.

**Development Partner(s):** Department of Defense (DOD)

**End User(s):** DHS Office of Health Affairs (DHS OHA); DOD, Department of Health and Human Services (DHHS), United States Postal Service (USPS), Department of Justice (DOJ)

*Detect-to-Protect Triggers and Confirmers Project* – This project seeks to provide prompt detection and warning protect high value facilities, transportation systems, and their occupants from an indoor bio-aerosol threat release and minimize the extent of contamination by initiating immediate low-regret actions to contain the spread of the aerosol. The goal is to develop commercialized low-cost, bio-aerosol detection and identification systems that respond within minutes of release of the bioaerosol, acting as a reliable ‘bio smoke alarm.’

**Development Partner(s):** DOD

**End User(s):** DHS OHA, Transportation Security Administration (TSA), facility owners/operators

*Multi-Application Multiplex Technology Platform Project* – This project will develop and provide a rapidly deployable, quantitative, easy-to-use, highly multiplexed nucleic acid detection system with high specificity and sensitivity for both U.S. government and commercial sector use. The system will be ideal for distributed identification of existing and emerging infectious disease pathogens and bioterrorism/biowarfare agents. This project will improve the ability of Government agencies to test for traditional agents, enhanced agents, emerging agents, and advanced agents in the event of a bio-attack or disease outbreak, and provide the ability to perform up to 100 tests or detect 100 targets simultaneously within a single sample using a user-friendly multiplex technology where assay

cartridges may be changed, based upon facility or agency-specific needs. This project plans to transition the technology to commercialization for acquisition.

**Development Partner(s):** Funded solely by DHS.

**End User(s):** DHS Customs and Border Protection (CBP); CDC, US Department of Agriculture (USDA), DOD, Environmental Protection Agency (EPA), Food and Drug Administration (FDA)

*Next-Gen Biological Detection Project* – This project conducts research and develops a suite of technologies to accurately detect the presence of traditional biothreat agents, provide characterization of pathogens for their virulence, provide a rough quantification of the amount of that agent, and preserve the viability of samples for further analysis. The project will also explore cheaper or reusable reagents that will significantly reduce the operational cost of detection while providing highly reliable and timely results, and improve system reliability and maintainability to reduce the total life-cycle costs. This project plans to initiate system design against documented requirements.

**Development Partner(s):** CDC

**End User(s):** OHA

*Rapid Biodetection Project* – This project will establish and/or improve capabilities to rapidly and accurately screen and identify exposed or contagious persons, to include those clinically symptomatic or prior to exhibiting symptoms of disease. This project will establish capabilities for early detection of exposure to viral and/or bacterial pathogens, providing robust assessments that can trigger rapid deployment of appropriate therapeutics, such as antivirals or antibiotics, which can dramatically reduce the extent, duration and spread of disease in exposed populations. This project plans to initiate testing, evaluation and validation of peptide array and lateral flow diagnostics as well as initiate process toward FDA approval for the transition of the devices for use in clinical assessments. This project also plans to develop fieldable peptide array and lateral flow devices to quickly assess if individuals have been potentially exposed to biological threat agents and to determine a course of action for treatment.

**Development Partner(s):** Department of Defense

**End User(s):** CDC Laboratory Response Network, Hospitals, Private Physician Offices and Clinics, First Responder Community

*Viable Bioparticle Capture Project* – This project will improve the ability of the public health service community to confirm a biological attack and its extent and duration. The project improves the collection of biological agents by preserving the sample for multiple days allowing additional verification or characterization on the sample. The final system is intended to augment the DHS BioWatch program by: 1) allowing characterization of the viability (i.e., whether capable of causing infection or not) of an agent used in an attack; 2) supporting rapid antimicrobial susceptibility testing; 3) supporting orthogonal testing (using other assay chemistries for additional verification or characterization) as needed; 4) enabling more definitive post-event characterization of bioterrorist events; and 5) providing critical information about persistence, decay and re-aerosolization of an agent in the days after an attack. This project will transition initial production systems to OHA.

**Development Partner(s):** Funded solely by DHS

**End User(s):** Office of Health Affairs (OHA)

*Bioagent Threat Assessment Program* – This program addresses biological and agricultural knowledge gaps and develops defensive strategies to counter potential threats. It also supports a full spectrum of knowledge products (e.g. reports/studies) to better inform policy makers on the attributes, risks, and consequences associated with the intentional release of a biological or agricultural (livestock) agent.

*Agrodefense Basic Research Project* – This project will address basic, critical scientific knowledge gaps in host protective immune mechanisms for foreign animal and zoonotic diseases by leveraging and accelerating research projects currently being executed by FAD disease experts.

**Development Partner(s):** USDA

**End User(s):** USDA

*Biodefense Knowledge Center (BKC)* – This project provides expertise and information about biological sciences and biothreats to DHS Components and multiple Federal agencies. Products include tailored assessments, in-depth analyses of biodefense issues and biotechnologies, and a knowledge management system to enable rapid and secure customer access to biodefense knowledge and information. Example assessment products include Material Threat Assessments (MTAs, in-depth studies of estimates of human exposures to high-consequence agents in specific scenarios), periodic awareness bulletins, and focused reference resources (such as Biothreat Agent Fact Books). Example uses of knowledge management system include work with the Federal Bureau of Investigation (FBI) to develop large scale scanning and reporting of advanced life sciences traffic in threat streams, and with Customs and Border Protection to enable improved targeting of potentially dangerous cargo. This project plans to publish a classified third edition of the Biothreat Agent Fact Book, finish delivery of select next generation Material Threat Assessments for issuance of updated Material Threat Determinations, and update the Biodefense Knowledge Management System to include additional data sources.

**Development Partner(s):** DHS CBP

**End User(s):** DHS Office of Intelligence and Analysis (I&A), CBP, OHA, Office of Policy; Central Intelligence Agency (CIA), National Ground Intelligence Center (NGIC), Defense Intelligence Agency (DIA), National Counterproliferation Center (NCPC), Federal Bureau of Investigations (FBI), DOD, USDA, CDC, Department of Health and Human Services (DHHS), EPA, Office of Science and Technology Policy (OSTP), Australian government

*Biodefense Net Assessments Project* – This project will identify gaps or vulnerabilities in the Nation’s biodefense strategy. As required in HSPD-10 and Project BioShield legislation, the project conducts assessments of the Nation’s overall biodefense strategy every four years to provide “...recommendations for re-balancing and refining investments among the pillars of our overall biodefense policy”.

**Development Partner(s):** Funded exclusively by DHS

**End User(s):** National Security Staff and multiple executive branch agencies

*Biological Threat Characterization Project (BTC)* – This project improves the estimation of the impacts of a bioterrorism attack on the U.S. through experimental research and analysis to understand the critical physical, chemical, and physiological parameters associated with potential bioterrorism agents. BTC includes laboratory experiments performed to reduce the uncertainty in areas such as agent production and dissemination, environmental stability, and pathogenesis. The information gained from these experiments directly feeds into knowledge products such as the DHS biological terrorism risk assessments. This project plans to continue to support laboratory experiments to also address non-traditional threat agents as well as uncertainty gaps identified as top priority by the Biodefense Knowledge Center and the interagency community.

**Development Partner(s):** Funded exclusively by DHS

**End User(s):** DHHS, DOD, Department of Justice (DOJ), DHS Components and members of the Intelligence Community.

*Bioterrorism Risk Assessment (BTRA) Project* – This project informs decision-making of Senior government leadership through the development and execution of a comprehensive, probabilistic risk assessment that integrates the judgments of the intelligence and law enforcement communities (threat) with input from the scientific, medical, and public health communities to estimate the probability of an attack occurring and the consequences of an attack should it occur. As a strategic level assessment, the BTRA is designed and has been used to: 1) aid in identifying and prioritizing credible, high impact threats, 2) aid in identifying and prioritizing vulnerabilities and knowledge gaps, and 3) provide a systematic, science-based, common framework for analysis. The computational analysis provided by the BTRA helps inform investments for National strategic biodefense planning, while identifying key knowledge gaps and defining critical vulnerabilities. This helps guide investments in capabilities in the face of limited resources. This project plans to refine, update, and validate the BTRA model and adaptive adversary models to reflect current capabilities and the current threat environment in preparation for the January delivery of the 2014 BTRA.

**Development Partner(s):** Funded exclusively by DHS

**End User(s):** National Security Staff (NSS), DHHS, National Institutes of Health (NIH), CDC, FDA; DHS National Protection and Programs Directorate (NPPD), OHA, TSA, DHS Office of Intelligence & Analysis (I&A), DOD, USDA, EPA

*Foreign Animal Disease (FAD) Modeling Project* – This project will improve the ability of Federal, State and local government agencies to prepare for and respond to FAD outbreaks. The project supports the development and use of infectious disease models and analysis tools to explore control strategies and response options for FAD outbreaks at multiple scales. This project plans to address the conceptual design and potential implementation strategies for next-generation capabilities, and demonstrate initial operating capabilities for selected functionality.

**Development Partner(s):** NIH, National Science Foundation (NSF), USDA

**End User(s):** DOD National Center for Medical Intelligence (NCMI), USDA

*Integrated CBRN Terrorism Risk Assessment (ITRA)* – This project will improve senior government leadership decision making by guiding the prioritization of medical countermeasure development, and allocation of other scarce resources through comparison of the risks associated with chemical, biological, radiological, and nuclear terrorism. The ITRA can be used to guide Federal agencies decisions on resource allocation across CBRN terrorism prevention, preparedness and response planning. The ITRA represents a consolidation and integration of the S&T Directorate's standalone risk assessments (Chemical Terrorism Risk Assessment (CTRA), Biological Terrorism Risk Assessment (BTRA), and Radiological/Nuclear Terrorism Risk Assessment (RNTRA)). This project plans to continue developing risk mitigation studies for intra- and inter-agency stakeholders, as well as, initiate coordination with intelligence community and technical subject matter experts to inform the development of the 2014 ITRA.

**Development Partner(s):** RNTRA is a shared effort between DHS S&T Chemical/Biological Division and DHS DNDO

**End User(s):** DHHS, DHS NPPD, DHS OHA, TSA, DHS I&A, DOD, USDA, Office of the Director of National Intelligence; Federal Emergency Management Agency (FEMA), FBI, CDC

*Joint Agro Defense Office (JADO)* – This project strengthens inter-agency collaboration in strategic research and development to enhance the nation's ability to effectively respond to and quickly recover from a foreign animal disease outbreak. The National Science and Technology Council (NSTC) Foreign Animal Disease Threat (FADT) subcommittee facilitates the overall interagency coordination to better leverage and integrate interagency R&D efforts, including programs on veterinary

countermeasures, basic research, FAD modeling, and depopulation, disposal and decontamination (3D).

**Development Partner(s):** Funded by DHS solely

**End User(s):** DHS (OHA, Office of National Laboratories (ONL)), USDA, EPA, DOD, HHS, National Science Foundation (NSF), Department of Interior (DOI), Department of State (DOS)

*System Studies Project* – This project improves coordination of DHS-led biodefense efforts by conducting system studies to help identify critical gaps, perform cost-benefit tradeoffs of different options for addressing those gaps, and inform guidance and CONOPS.

**Development Partner(s):** Funded exclusively by DHS

**End User(s):** TSA

*Chemical Detection Program* – Researches, develops, and/or identifies tools to enable interception, detection, and warning of attacks or large releases of chemical threat agents against the population of the United States. Defines use concepts, requirements, and procedures for improved techniques for early detection and warning of potential chemical threats and enables modeling of the expanse of such chemical disasters.

*Autonomous Rapid Facility Chemical Agent Monitor (ARFCAM) and Lightweight Autonomous Chemical Agent System (LACIS) Project* – This project will improve protection of facility occupants through its ability to detect a wide range of toxic chemical agents with increased reliability as well as improve the capability of responders to conduct rapid and reliable assessment of the scene of a chemical incident. The project developed a low-cost, fully autonomous, chemical monitor that will “detect-to-warn” the presence of up to 17 Chemical Warfare Agents (CWAs) and high-priority Toxic Industrial Chemicals (TICs) simultaneously within a single device. In addition to improving the capabilities and safety of responders, it will enable enhanced detection capabilities at borders, portals and other nodes of people, and cargo flow.

**Development Partner(s):** DOD

**End User(s):** Federal Protective Service (FPS), Port Authority of New York/New Jersey, Washington Metro Area Transit Authority (WMATA), USSS, TSA

*Cell-All Ubiquitous Chem Detect Project* – This project will improve chemical detectors’ integration, size, cost, power, maintenance, durability, and response characteristics by integrating miniaturized chemical agent detectors into personal devices, such as cellular telephones. Together, individual miniaturized sensing devices can create a widely distributed network for detection, classification, and notification of a chemical release, potentially detecting chemical components of some biological agents.

**Development Partner(s):** Qualcomm, NASA Ames Research Center, Synkera Technologies Inc, NC4, Los Angeles Fire Department, Los Angeles Police Department, Chicago Fire Department, EPA, CalEPA, and the FEMA Center for Domestic Preparedness.

**End User(s):** First Responders, Emergency Operations Centers, Cell Phone Users, Cell-phone Manufacturers and Carriers

*Secondary Screening for Chem Bio Materials (formerly known as Non-Intrusive Container Monitor) Project* – This technology will improve the interception and confiscation of illicit materials by a variety of customs, law enforcement, and responder personnel. The project develops both a screening architecture and investigates technologies that will enable determination of the contents of suspicious packages passing through security portals or containers in cargo rapidly and efficiently. This project



focuses on enhancing security at portals within and at the perimeter of key elements of our national infrastructure.

**Development Partner(s):** Funded solely by DHS

**End User(s):** CBP, TSA

***Chemical Threat Assessment Program*** – Researches and identifies current and potential chemical threats to understand the risk posed to the United States by their illicit use. This program encompasses risk-based, chemical threat agent characterization programs, domestic defense strategic planning, and analytical technologies, strategies, and procedures.

***Chemical Infrastructure Risk Assessment (CIRA) Project*** – This project will improve the ability to assess risk presented by attacks on the chemical industry by developing tools to identify and quantify various infrastructure gaps, vulnerabilities, potential key hazardous chemicals, and associated processes. This project maintains an operational reach-back capability supporting the development of Office of Infrastructure Protection (OIP) chemical security regulations (Chemical Facility Antiterrorism Standards (CFATS)).

**Development Partner(s):** Funded solely by DHS

**End User(s):** DHS Office of Infrastructure Protection (OIP)

***Chemical Security Analysis Center (CSAC) Project*** – The CSAC serves as the Nation’s first centralized repository of chemical threat information (hazard and characterization data) for analysis of the Nation’s vulnerabilities to chemical agent attacks. This project conducts key analytical assessments, such as material threat assessments (MTAs) for DHHS, hazard assessments, and the Chemical Terrorism Risk Assessment (CTRA) for NPPD, OHA, TSA, and I&A. It provides 24/7 expert reach-back capabilities and rapid support in domestic emergencies related to chemical threat materials. The project plans to deliver hazard assessments on selected chemicals of interest and use the 2012 CTRA results to conduct selected sensitivity studies and tailored assessments.

**Development Partner(s):** DOD (portions related to emerging chemical threats)

**End User(s):** DHS National Operations Center (NOC), OIP, I&A, OHA, TSA), EPA, FBI

***Increase Safety of Hazardous Chemicals Project*** – This project addresses the requirements of IP and Congress to develop a coherent technical approach to inherently safer technology (IST) and the broader concept of safer design strategies as applied to improving safety and security associated with toxic chemical threat materials. This effort will improve DHS NPPD/OIP’s understanding and solutions identified will be incorporated into the overall chemical industry sector security efforts that include, in part, the Chemical Facility Antiterrorism Standards.

**Development Partner(s):** Funded solely by DHS

**End User(s):** DHS OIP, TSA

***Large-Scale Toxic Chemical Transport Release Modeling Project*** – This project improved strategic planning toward improved response to the risk posed by transport of large containers of hazardous chemicals. Studies combined fully instrumented laboratory and field testing to characterize the physical and chemical phenomena occurring during a large scale (greater than 1 ton) release of dense and buoyant toxic gases. The results of this effort have improved TSA’s and IP’s understanding of the consequences of large-volume, hazardous-chemical releases in transport (e.g., rail cars or tanker trucks).

**Development Partner(s):** DHS TSA

**End User(s):** DHS (TSA, IP), DOD, industry, transportation sectors

**Explosives Detection Program** – Researches, develops, and/or identifies tools to detect and locate explosives intended to be used as terrorist weapons and strengthen aviation security by bolstering the international aviation security system, processes and technologies, and by encouraging partnerships with industry. Defines concepts, requirements, and procedures for improved techniques for early detection and warning of potential explosive threats, including explosive threats to the Nation’s transportation systems and large public gatherings.

*Advanced Surveillance Systems Project* – This project will reduce workforce requirements for government and private infrastructure owners/operators, specifically for dams; national monuments and icons; and transportation, nuclear, chemical, government, and commercial facilities, by replacing operator-dependent monitoring of large numbers of cameras with systems incorporating advanced algorithms to provide high-fidelity anomaly and change detection. The project will design and adapt systems to interpret information from multiple surveillance modes (such as closed-circuit television cameras, infrared cameras, intrusion detection alarms, and acoustic sensors) and provide actionable information to infrastructure operators.

**Development Partner(s):** Office of Infrastructure Protection (OIP), and various infrastructure owners/operators, dams, national monuments and icons, transportation, nuclear, chemical, government and commercial facilities

**End-user(s):** Various infrastructure owners/operators, dams, national monuments and icons, transportation, nuclear, chemical, government and commercial facilities

*Air Cargo Project* – This project will improve the ability of air carriers and certified cargo screening facilities to screen medium- and high-density pallets and sealed containers. The project will focus on developing the tools to screen all air cargo before it is placed on passenger aircraft and will deliver screener tools to Transportation Security Administration (TSA) for approval and release to air carriers and Certified Cargo Screening Facilities. The project will qualify new air cargo screening systems through TSA for placement on the Qualified Technology List (QTL) for direct procurement by the private sector. This project plans to develop a coded aperture microfabricated mass spectrometer prototype and deliver palletized cargo screening systems and mass spectrometer explosives trace detectors with a prototype non-contact sampling capability for air cargo.

**Development Partner(s):** Duke University, Massachusetts Institute of Technology (MIT) Lincoln Labs, Aberdeen Testing Center, U.S. Naval Research Laboratory (NRL)/Nova

**End User(s):** TSA

*Algorithm and Analysis of Raw Images Project* – This project will improve the performance of X-ray-based Computed Tomography (CT) and Advanced Imaging Technology (AIT) detection technologies in both checked baggage and check point applications. The project will develop advanced algorithm basic research concepts for improved explosive detection and identify areas for improved image analysis such as establishing and validating image standardization and stimulating research in segmentation and iterative reconstruction from CT and Advanced Imaging Technology (AIT) data. This project plans to evaluate advanced image processing methods for AIT in an operational testbed.

**Development Partner(s):** Northeastern University

**End User(s):** TSA, Federal Protective Service (FPS), United States Secret Service (USSS)

*Automated Carry-On Detection Project* – This project will improve automated capabilities to detect explosives and concealed weapons in carry-on baggage at aviation checkpoints. This project also will introduce new standalone or adjunct imaging technologies, such as computer tomography (CT), to continue the improvement of detection performance and the detection of novel explosives.

**Development Partner(s):** Laurence Livermore National Laboratory (LLNL), Joint IED Defeat Office (JIEDDO) /ICx Technologies Nomadics  
**End User(s):** TSA

*Automatic Threat Recognition Project* – This project will improve TSA’s ability to detect threats, lower false alarm rates and reduce privacy concerns. The project will develop and evaluate automated target recognition (ATR) algorithms for Advanced Imaging Technology (AIT) systems in a test bed with the goal of automatic and reliable detection of threats on passengers, reducing the need for human interpretation.

**Development Partner(s):** Pacific Northwest National Laboratory (PNNL), JIEDDO/ICx Nomadics, SRA International (SRA)  
**End User(s):** TSA

*Canine Explosives Detection Project* – This project improves canine ability to detect explosives by improving canine training tools and techniques. The project will study the canine olfactory system and the genetic markers that can predict high-performance explosive-detection canines and canine physiological limitations and strengths. This project plans to continue operational assessment testing for TSA and FPS, deliver and test an additional set of HME canine training aids, and identify pertinent DNA markers leading to early prediction of successful detector dogs. This project is also conducting a five-year genetic and behavior study to determine early indicators of high performing detection dogs.

**Development Partner(s):** Auburn University, University of Pennsylvania, Johns Hopkins University (JHU)/ Applied Physics Laboratory (APL)  
**End User(s):** TSA, FPS, First Responders

*Checked Baggage Project* – This project substantially improves the performance of TSA checked baggage screening by developing technologies that will drive commercial development of next-generation explosives detection systems (EDS) and explosives trace detectors (ETDs). Development efforts are focused on increasing HME detection capabilities, reducing false alarm rates, and reducing operating and life cycle costs. This project plans to deliver a prototype advanced EDS for laboratory assessment and evaluate the use of additional discriminating signatures in advanced ETDs for checked baggage alarm resolution operations and improved HME detection.

**Development Partner(s):** LLNL, L-3 Communications (L3), Quantum Magnetics  
**End User(s):** TSA

*Detection Technology and Material Science Project* – This project improves detection of explosives threats and reduces the effects of an explosive detonation, including the attenuation of the explosive shock wave and containment of blast fragmentation (shrapnel). This project develops new components for X-ray security screening equipment with the potential for increasing performance and reducing operation costs.

**Development Partner(s):** Northeastern University, University of Rhode Island, Technical Support Working Group (TSWG), NEXESS  
**End User(s):** TSA

*Explosives Trace Detection Project* – This project improves trace sampling and detection technologies by developing advanced explosive trace detection (ETD) capabilities. This project develops mass spectrometry based ETDs with swab and non-contact trace sampling capabilities for use in aviation checkpoint, checked baggage, and air cargo security screening operations.

**Development Partner(s):** ICx Nomadics, Syagen, AASKI Technologies, Naval Research Laboratory (NRL), Purdue University

**End User(s):** TSA

*Eye Safe Trace Detection Project* – This project will provide building security and checkpoint security with a stand-off ability to detect trace explosives on people and personal items. This project will use the benefits of optical spectroscopy (chemical identification, high sensitivity) to detect chemicals related to explosives while screening out cluttered spectra, issues with false alarms, and background noise. This project plans to develop a widely-tunable infrared source for integration into standoff trace technologies to reduce sensor weight, size, and add flexibility for multiple threats. It also plans to initiate the development of eye-safe spectroscopic technologies for standoff detection of explosive residues.

**Development Partner(s):** To Be Determined

**End User(s):** FPS, USSS, CBP, TSA

*Integrated Passenger Screening Systems* – This project will allow passengers to keep their shoes on throughout the security screening process at aviation checkpoints by developing and testing integrated shoe screening devices (SSD) and advanced imaging technology (AIT) systems. The initial shoe screening systems developed will be stand alone systems used to verify acceptable system performance. Integrated passenger screening systems developed under this project will integrate shoe screening systems with Advanced Imaging Technology (AIT) in order to reduce the overall technology footprint at aviation checkpoint. This project plans to deliver prototype stand alone shoe screener systems for operational assessment.

**Development Partner(s):** To Be Determined

**End User(s):** TSA, FPS

*MagViz (SENSIT NMRI) Rapid Liquid Component Detector Project* – The goal of MagViz is to enable the TSA to detect liquids in baggage without contact at the same rate as current X-ray machines with minimal impact on passenger throughput. This project uses ultra-low field Magnetic Resonance Imaging (MRI) technology to screen baggage for liquid explosives.

**Development Partner(s):** Los Alamos National Laboratory (LANL)

**End User(s):** TSA

*Mass Transit Project* – This project will improve operators ability to detect explosive threats for maritime and surface mass transit, including buses, commuter rail (i.e. subways or metros), light rail (i.e. trolleys and streetcars), long-distance rail (i.e. Amtrak), and heavy rail. The project develops and demonstrates technology to enable a resilient transit system that leverages public awareness, technology, and layered-security processes, while maintaining efficient flow of passengers. This project plans to demonstrate intelligent video systems to detect leave behind threats in an operational environment under rush hour conditions. This project also plans to demonstrate prototype standoff trace explosive detection and person-borne imaging systems for application in mass transit rail and maritime.

**Development Partner(s):** Johns Hopkins University Applied Physics Laboratory, MIT Lincoln Labs, Volpe

**End User(s):** TSA

*Next Generation Passenger Check Point Project* – This project improves TSA's screening process of passengers and carry-ons for explosives and other threats at aviation checkpoints by developing the next-generation airport security checkpoint system for risk-based screening of passengers and carried baggage. This project investigates next generation passenger checkpoint system architecture concepts and develops advanced systems (including Advanced Technology (AT) X-ray, Advanced Imaging

Technology (AIT), Explosives Trace Detection (ETD), shoe screener, and bottled liquid screening systems). This project plans to demonstrate the ICP passive screening integration prototype, and qualify one or more portable detectors for AIT anomaly resolution.

**Development Partner(s):** PNNL, AASKI Technologies, Syagen, Quantum Magnetics, Duke University, Stanford University

**End User(s):** TSA

*PB Threat Imaging Sensor Development Project* – This project improves FPS's and TSA'S standoff detection of explosives devices worn or carried by a person as they approach a venue entrance. This project plans to develop configurable millimeter wave terahertz (mmW/THz) sensors with Automatic Target Recognition (ATR). Viability of detectors will be established before sensor development begins. ATR development will start when sensors have matured sufficiently to provide representative imagery.

**Development Partner(s):** To Be Determined

**End User(s):** FPS, USSS

*Person-Borne Improvised Explosive Devices (PBIED) Detection Project* – This project improves Federal, State, and local law enforcement officials' detection of an explosive device worn or carried by an individual at standoff distances including structured crowds approaching a checkpoint and unstructured crowds such as those in a mass transit setting or public venue where no checkpoint is present. This project investigates technologies capable of detecting all types of explosive threats, including homemade, commercial, and military explosives.

**Development Partner(s):** SAIC, University of Arizona, National Institute of Standards and Technology (NIST), MITRE

**End User(s):** USSS, FPS

*Portable Detection Project* – This project improves the Department's and first responders' explosives detection performance in a handheld form. The project will develop non-contact portable explosives detectors employing sensitive and selective trace and/or bulk sensors for a number of potential applications, including secondary screening of passengers (in lieu of pat downs) after Advanced Imaging Technology (AIT) anomaly detection. This project plans to develop and evaluate handheld trace, bulk and imaging screening systems for screening of personnel, baggage, and cargo.

**Development Partner(s):** To Be Determined

**End User(s):** TSA, USSS, FPS

*Predictive Screening Project* – This project will improve TSA's and CBP's ability into identify suspicious behaviors that precede Person-Borne Improvised Explosive Device (IED) attacks through the development and transition of automated, real-time alerts to the presence of these threat behaviors. This project plans to transition an empirically derived list of behavioral indicators of Person-Borne IED attacks.

**Development Partner(s):** Transportation Security Administration (TSA), Customs and Border Protection (CBP)

**End User(s):** TSA, CBP

*Safe Bulk Detection Project* – This project addresses the need in surface transportation to effectively and safely detect bulk explosives or bulk explosive chemicals concealed or carried in a bag without the operational limitations of an aviation-style checkpoint. The project develops methods for detecting bulk explosives carried by people and leave-behinds at a standoff distance. This project plans to initiate the assessment of signature enhancement methods for standoff detection of imaging anomalies

and related signatures. It also plans to initiate development of standoff imaging systems using sparse array technology.

**Development Partner(s):** To Be Determined

**End User(s):** TSA, FPS, USSS

*Underwater Surveillance – Basic Research Project* – The project will assess bubble jetting resulting from underwater explosions and its impact on vertical structures (such as dam spillway gates and navigation locks) to determine appropriate standoff distances for submerged targets. The lack of fundamental knowledge of underwater blast effects currently limits researchers' ability to define parameters for effective underwater surveillance. This research will be used to accurately define surveillance areas, and will have the added benefit of informing effective design of blast mitigation measures for underwater targets.

**Development Partner(s):** United States Army Corps of Engineers (USACE) Engineering Research and Development Center (ERDC), Naval Surface Warfare Centers (NSWCs) Indian Head and Carderock, Dynaflo, Inc.

**End-user(s):** Dam and Transportation Sector owners and operators, United States (U.S.) Coast Guard (USCG), United States Navy, port owners and the Nuclear and Chemical Sectors will benefit from the data generated

*Underwater Surveillance – Dams and Tunnels Project* – This project will increase the ability to prevent waterside attacks on dams, tunnels, and other critical underwater and waterside infrastructure operating in harsh environments for extended periods. The project provides advanced, automated, affordable, underwater monitoring and surveillance technologies to detect underwater threats against dams and tunnels. Since dams and tunnels are particularly vulnerable to a water-borne attack, detecting suspicious activity is critical to asset protection.

**Development Partner(s):** The project lead is United States Army Corps of Engineers (USACE) Engineering Research and Development Center (ERDC), with research being conducted at the NSWC Indian Head and Carderock, and Dynaflo, Inc. Dam and Transportation Sector owners and operators, USCG, U.S. Navy, port owners and members of the Nuclear and Chemical Sectors will benefit from the data generated

**End-user(s):** Dam and Transportation Sector owners and operators, USCG, US Navy, port owners and members of the Nuclear and Chemical Sectors will benefit from the data generated

*Vehicle-Borne Improvised Explosive Devices (VBIED) Detection Project* – This project improves Federal, State, and local law enforcement's detection of improvised explosive devices within a vehicle. This project will develop and test technologies to detect or image improvised explosive devices (IEDs) within a vehicle. The project also develops technologies to sample and detect explosive residues and components non-intrusively, and fuse multiple technologies to provide automation for VBIED detection. This has the potential to speed screening and enable security screeners to concentrate on high-risk vehicles.

**Development Partner(s):** Applied Research Associates (ARA), Science Applications International Corporation (SAIC)

**End User(s):** FPS, CBP, USSS, TSA

*Explosives Threat Assessment Program* – Researches and identifies current and potential explosive threats to understand the risk posed to the United States, strengthen aviation security by bolstering the international aviation security system, improve security processes and technologies, and encourage partnerships with industry. Encompasses risk-based, threat characterization, attribution, strategic

planning, prediction of magnitude of explosive disasters, and analytical technologies, strategies, and procedures.

*Actionable Indicators and Countermeasures Project* – This project will improve the Intelligence and Law Enforcement communities' ability to identify indicators that individuals and groups are moving toward extremist violence. It will also support policymakers in assessing the impacts of policies and programs developed to counter violent extremism. The project generates knowledge products and develops foundation for applied tools (integrated multiple indicators). This project plans to analyze the characteristics of U.S. counties that have and have not experienced violent extremism and re-compete project activities discontinued due to lack of funding and re-start data collection efforts.

**Development Partner(s):** UK Home Office

**End User(s):** Office of the Counterterrorism Coordinator, Office of Intelligence and Analysis (I&A), State and local Law Enforcement, Office of Policy, Office of Civil Rights and Civil Liberties, U.S. Citizenship and Immigration Services (USCIS)

*Aircraft Vulnerability Project* – This project improves TSA's existing explosives detection standards for aircraft. The project will assess the vulnerability of narrow- and wide-body aircraft passenger cabins and cargo holds to explosives threats. These vulnerability assessments analyze blast/damage effects of explosives and determine the minimum threat mass of improvised explosive required to cause catastrophic damage to various aircraft types. The assessments also identify the recommended detection limits for explosives screening systems in aviation security. This project plans to leverage the M&S work on the narrow body aircraft to wide body aircraft such as Boeing 787 Dreamliner and Airbus 380. Results of this effort are expected to provide a refinement to the existing explosives detection standards by which TSA screens checked/carry-on luggage as well as cargo.

**Development Partner(s):** Aberdeen Testing Center, International Composite Technologies

**End User(s):** TSA

*Blast/Projectile – Unified Blast Analysis Tool Project* – This project will allow building owners to accurately predict damage and develop structural retrofits, blast mitigation methods, and an operational plan by characterizing the explosive air blast in an urban environment. Understanding urban blast effects will facilitate development of blast prediction models, which will aid first responders and emergency managers in response and evaluation planning. The project develops a high-quality database of blast overpressure measurements to refine numerical models to accurately predict the complicated reflection, diffraction, and diffusion of blast waves in these scenarios.

**Development Partner(s):** Lawrence Livermore National Laboratory (LLNL) and the US Army Corps of Engineers Engineering Research and Development Center (USACE-ERDC)

**End-user(s):** DHS Office of Infrastructure Protection (OIP), the Transportation Security Administration, owners or operators of infrastructure (mass transit, highways, dams, government and commercial facilities, etc.), State and local emergency management personnel, first responders

*Homemade Explosives Characterization Project* – This project improves the Department's ability to detect and identify homemade explosives (HMEs) threats across a range of venues. The project will determine the explosives properties of HME threats such as impact, friction, and electrostatic-discharge sensitivities. The project also provides a better understanding of the detection signatures of HME threats to improve detection capabilities and evaluates the potential damage and impact of HME being used in terrorist attacks and aids in determining the requirements for technologies to counter this threat. This project plans to determine bulk and trace detection signatures of HMEs listed under the TSA HME threat list in support of the Checked Baggage, Checkpoint, and Air Cargo programs.

**Development Partner(s):** LLNL, Sandia National Laboratory (SNL), and LANL

**End User(s):** TSA, FPS, USSS

*Risk Prediction Project* – This project will improve Customs and Border Protection (CBP's) and Transportation and Security Administration (TSA's) ability to identify potential improvised explosive device (IED) targets and staging areas that precede IED smugglings at the U.S. border. The project couples the CBP Automated Targeting Systems (ATS) with existing geo-behavioral pattern discovery algorithms and identified vulnerabilities. This project plans to transition real-time software to identify anomaly detection subsystem to further increase the accuracy of CBP's Automated Targeting System for Passengers (ATS-P).

**Development Partner(s):** CBP, TSA

**End User(s):** CBP, TSA

**Counter Terrorist Research & Development Thrust** – FY 2012: \$1.600 million. FY 2013 request: \$25.493 million. The S&T Directorate invests in the research and development of efforts to counter terrorism. Efforts include: prevention of terrorist attacks, and, prevention of the illicit movement and illegal entry or exit of people, weapons, dangerous goods, and contraband.

*Hostile Behavior Predict and Detect Program* – Leverages social and behavioral science research, data, and theory to understand the determinants and timing of group conversions to terrorism and the intent to engage in violence. Knowledge from this program informs analytical, operational, and policy concerns related to terrorists and terrorist activities. Also, develops and builds the capability to non-invasively detect suspicious behavior that indicates the intent to cause harm.

*Centralized Hostile Intent Detection Project* – This project improves TSA's capability to identify threats to aviation security by empirically comparing direct- versus video-based observation and decentralized versus centralized observation techniques for identifying high-risk behavior. The project will conduct analysis to assess effectiveness and efficiency measures for each technique. This project plans to deliver a report on the experimental design and effectiveness and efficiency measures as well as deliver operational test bed to support remote, centralized observation techniques for identifying high-risk behavior.

**Development Partner(s):** TSA and CBP

**End User(s):** TSA and CBP

*Community Perceptions of Technology (CPT) Panel Project* – This project improved the development, deployment, and public acceptance of technology by understanding public concerns of civil liberties and privacy issues in lieu of integrating national security measures. The project conducted focus groups and workshops to improve the understanding of public opinion regarding DHS technologies and processes. Insights were useful in addressing community perceptions of emerging homeland security technologies in order to avoid or mitigate barriers to implementation caused by public concerns.

**Development Partner(s):** HSSAI

**End User(s):** TSA, S&T Program Managers

*Cross-Cultural Validation of SPOT (Screening Passengers by Observation Techniques) Behaviors Project* – This project improved TSA's throughput of passengers at air, land, and maritime ports by detecting behavioral indicators of hostile intent at a distance. The project conducted analysis and verification of SPOT operational and base rate data that complemented the automated prototype work and supported development of an enhanced capability by integrating validated behavioral indicators into the screening concept of operations through each Component's existing training programs.



**Development Partner(s):** TSA

**End User(s):** TSA

*Future Attribute Screening Technologies Mobile Module (FAST M2) Project* – This project improved Transition Partners’ screening throughputs at special events, airports, and other secure areas by rapidly, reliably, and remotely detecting behavioral indicators of hostile intent. The project developed a prototype screening facility containing a suite of real-time, non-invasive sensor technologies to detect behavior indicative of the intent or desire to cause harm. An established and independent peer review was also utilized to ensure objectivity and thoroughness was met in addressing all aspects of the program.

**Development Partner(s):** Department of Defense (DOD), Intelligence Community

**End User(s):** TSA, CBP, United States Secret Service (USSS), private sector (infrastructure owners, major league sports franchises, theater/event venue owners, metropolitan transportation authorities)

*Hostile Intent Detection-Automated Prototype Project* – This project improved Transition Partners’ ability to identify-and screen for unknown, potential terrorist threats prior to traveler entry into the U.S.; it improved accuracy by 75 percent, allowing for improved throughput of travelers crossing the U.S. border. The project developed real-time, non-invasive, and culturally independent, hostile intent detection prototype video extraction algorithms. The project provided an automated capability to reduce false alarms in identifying and screening processes.

**Development Partner(s):** TSA, DOD

**End User(s):** TSA

*Passive Methods for Precision Behavioral Screening Project* – The project will improve Transition Partners’ screening and throughput, reduce economic screening impacts and improve classification accuracy by transforming the screening process from active to more dynamic and passive detection. The project differentiates malintent through the inclusion of passive stimuli by building on the Future Attribute Screening Technology (FAST) program so that the screening process does not require direct interaction between the operator and the subject. This project plans to initiate contract actions; e.g., development of source selection plan; white paper review, convening of Source Selection Evaluation Board for proposal review; brief to Source Selection Authority; contract award and funding in order to reestablish the contractual vehicle to fund the Research and Development Team; complete analysis of the research protocol; update Passive Methods for Precision Behavioral Screening literature review; re-convene Passive Methods for Precision Behavioral Screening subject matter expert working group and/or advisory panel; conduct Real-Time Decision Application (RTDA) advisory panel in order to improve RTDA performance; and conduct at least one applied research protocol in order to demonstrate the sensors in a controlled environment.

**Development Partner(s):** DOD, Intelligence Community

**End User(s):** TSA, CBP, USSS, private sector (infrastructure owners, major league sports franchises, theater/event venue owners, metropolitan transportation authorities)

*Violent Intent Modeling and Simulation (VIMS) Project* – This project improved Transition Partners’ ability to understand threatening organizations by developing a systemic analytical framework and user interface. By anticipating changes in a group’s violent activity, the project focused on determining whether a radical group is likely to engage in violence and what ideological, organizational and contextual correlates may contribute to the emergence of violence as a tactic or strategy. The project developed models and data retrieval systems that allowed analysts to understand how behavioral, social and organizational factors may contribute to and predict the emergence of violence.

**Development Partner(s):** DHS Office of Intelligence and Analysis (I&A), Department of Energy (DOE).

**End User(s):** Federal, State, and local intelligence analysts

*Wide Area Surveillance Project* – This project will enhance the continuous surveillance of the Nation’s highest priority infrastructure by developing a novel wide area surveillance system that provides high resolution 360 degree coverage with real-time and forensic capabilities. The system will overcome limitations of existing surveillance technology, leveraging significant research investments by the Department of Defense to enhance image resolution beyond what is commercially available. The project also integrates sensors into a system that must process large amounts of data, operate a seamless camera-to-camera handoff for enhanced images, and have capability of advanced image recognition. This project plans to install and demonstrate the second-generation system at Logan International Airport. This project also plans to transition the second-generation camera system to commercialization and conduct a demonstration of an IR system prototype.

**Development Partner(s):** U.S. Secret Service, TSA, New York Police Department (NYPD), and the Massachusetts Port Authority (Massport)/Boston Logan International Airport

**End-user(s):** U.S. Secret Service, law enforcement, airports, infrastructure owners and operators

*Identity Management Program* – Researches and develops biometrics-based technologies, procedures, CONOPS, and information to identify known terrorists and criminals and prevent their movement into and out of the U.S. through effective, interoperable multi-biometrics in diverse areas, including border crossings, ports-of-entry, and visa application sites.

*Biometric Detector Project* – This project improved Transition Partners’ screening checkpoint throughput by developing faster, less invasive fingerprint scanner technologies capable of collecting three dimensional fingerprint scanner data. The project collected high quality fingerprint data at screening checkpoints using prototype scanners as well as conventional fingerprint methods to evaluate improvements in performance.

**Development Partner(s):** National Institutes of Health (NIST), DOD

**End User(s):** CBP, USCIS

*Cooperative Biometrics Project* – This project will improve Transition Partners’ customer throughput by collecting two or more biometrics in less than 10 seconds at a 95 percent acquisition rate. The project is working with the biometrics industry to develop more robust iris recognition and improved facial image acquisition and matching technologies for integration with DHS biometric screening processes. This project plans to conduct iris and face recognition operational evaluations in multiple DHS environments to assess improvements in operational effectiveness and cost savings; accelerate the publication an International Iris Image Quality standard, commercialize standards-based biometric quality algorithms; initiate challenge problems and encourage multi-disciplinary approaches to mitigate technology challenges that pose risks to successful deployment.

**Development Partner(s):** NIST, DOD, DOJ

**End User(s):** CBP, ICE, FPS

*Mobile Biometrics System Project* – The project will improve U.S. border security and officer safety by providing Federal, State and local Transition Partners the capability to screen individuals at remote locations around the U.S. borders. The objective of this project is to prevent and deter foreign and domestic threats from physically entering or residing in the U.S. under the auspices of a falsely claimed identity. The project develops technologies for mobile biometrics screening at remote sites along our U.S. borders, including our territorial waters at sea, and other areas not near a processing

station. The project develops a multi-modal mobile biometric device that is capable of 10-print, face and iris image collection, and includes card reader, storage, image quality assessment and wireless transmission capabilities. This project plans to deliver the four finger slap module for testing; pilot test the four finger slap module; integrate the four finger slap module into a multi-modal biometric mobile device (finger, face, iris, card read); pilot test the multi-modal mobile device with Federal, State, and local partners; create an approved product list of mobile devices that meet standards and mobile best practices to support informed acquisition decisions by the entire USG.

**Development Partner(s):** United States Coast Guard (USCG), DOD, and Department of Justice (DOJ), and DOE.

**End User(s):** USCG, CBP, Immigration and Customs Enforcement (ICE), DOD, United States Visitor and Immigrant Status Indicator Technology (US-VISIT), and other Federal, State, and local law enforcement and first responder agencies, including Sheriffs' Offices, Police Departments, and domestic security-related Task Forces

*Non-Cooperative Biometrics Project* – This project will improve Transition Partners' ability to identify and prevent potential threats from entering the U.S. and facilitate the movement of legitimate travelers. The project will deploy facial recognition systems in its first phase and multi-modal systems in subsequent phases. This project plans to test state-of-the-art facial recognition systems, first in a test bed environment and then in an operational setting.

**Development Partner(s):** CBP

**End User(s):** USSS, CBP, TSA

*Rapid DNA Project* – This project will improve the security and integrity of the immigration system by providing USCIS with a rapid and low-cost method to verify family relationships. The project is developing a Rapid-DNA system to verify family relationships in asylum, refugee, and overseas adoption cases. The project could also conduct DNA watch list checks where appropriate and consistent with privacy, civil rights, and DHS policy. This project plans to deliver a Rapid DNA extended kinship analysis system, expanding the relationships that can be verified to grandparents and siblings. This project also plans to conduct performance assessment and field tests of the extended kinship analysis capability.

**Development Partner(s):** DOD, In-Q-Tel, NIST, DOJ, DHS Small Business Innovative Research (SBIR) Program

**End User(s):** USCIS, CBP Laboratory Services

**Cyber Security Thrust/Program** – FY 2012: \$45.808 million. FY 2013 request: \$64.477 million. Conducts and supports research, development, testing, evaluation, and transition for advanced cyber security and information assurance technologies to secure the Nation's current and future cyber and critical infrastructures in response to the President's *National Strategy to Secure Cyberspace* and *Comprehensive National Cybersecurity Initiative (CNCI)*. These solutions include user identity and data privacy technologies, end system security, research infrastructure, law enforcement forensic capabilities, secure protocols, software assurance, and cybersecurity education.

*Cyber Economic Incentives (CNCI) Project* – This project will increase the cyber security community's understanding of the role economics plays in cyber security by identifying incentives to engage in socially responsible behavior and deter those who participate in criminal and malicious behavior. The project invests in research on the role of economics in identifying and realigning cyber economic incentives through the creation of a science-based understanding of markets, decision making, and motivators. This project plans to develop scientific frameworks to incentivize vendors to improve the

economic viability of assured software development methods, and study disincentives to online criminal behavior.

**Development Partner(s):** DHS components, other Federal agencies, State and local entities, private sector

**End User(s):** DHS components, other Federal agencies, State and local entities, private sector

*Cyber Security Assessment and Evaluation Project* – This project will increase overall system security and transition of cyber security solutions into commercial products by addressing component and system vulnerabilities throughout the development lifecycle, from design to operational evaluation, and by facilitating the dialogue between researchers and technology entrepreneurs and large companies. The project conducts technical assessment and risk analysis that focuses on implementation and deployment of cyber security technologies into the operational environment. These are needed to ensure that the new technologies have been assessed for and address any vulnerability and are secure prior to transition. This project plans to continue red-teaming assessments of high priority project areas to include experimental research testbeds and technology developed in the Homeland Open Security Technology (HOST) project to identify vulnerabilities and identify potential fixes to technology developers, ensuring that platforms for conducting and sharing open source cyber security research are ultimately secure.

**Development Partner(s):** Government and industry Chief Information Offices and Chief Information Security Offices, Critical Infrastructure owners/operators

**End User(s):** Government and industry CIOs and CISOs, Critical Infrastructure owners/operators

*Cyber Security Competitions Project* – This project improves the quality of the future cyber security workforce by funding and supporting a variety of cyber security competitions for high school and college students that give them access to cutting-edge technologies and exercises. The project helps to fulfill the challenge in Priority III of the National Strategy to Secure Cyberspace to “foster adequate training and education programs to support the Nation’s cyber security needs.” The National Collegiate Cyber Defense Competition (NCCDC) is an event in which teams of undergraduate and graduate students from universities across the country compete in a business-oriented, defensive information assurance competition. The US Cyber Challenge (USCC) targets young Americans with the skills to fill the ranks of cyber security practitioners and researchers. These programs will provide opportunities to develop their skills, give them access to advanced education and exercises. This project plans to continue to provide funding support for both the NCCDC and the USCC and develop an assessment framework for a national-level collegiate cyber competition.

**Development Partner(s):** DHS Components, DHS Enterprise, Private Sector (funding partners for competitions)

**End User(s):** DHS Components, DHS Enterprise

*Cyber Security Experiments and Pilots Project* – This project enhances DHS operational component understanding of cutting edge cyber security capabilities and improves the likelihood of transition by ensuring that CSD developed technologies are tested and evaluated in an operational environment. The project experiments address cyber security requirements from DHS customers in support of operational missions in critical infrastructure protection. This project plans to continue outreach to DHS components to gather requirements for possible experimental deployments and analyze the Cyber Security portfolio to identify which technologies are mature enough for pilot deployments.

**Development Partner(s):** N/A

**End User(s):** DHS Components, Federal agencies

*Cyber Security Forensics Project* – This project will reduce the amount of time law enforcement officers need to solve difficult cases by developing comprehensive solutions to digital forensics problems. The project develops new cyber forensic analysis tools and investigative techniques for law enforcement officers and forensic examiners to address the full range of cyber related crimes. This project plans to provide tutorials on software vulnerability assessment and secure programming techniques and develop tools to analyze gaming systems increasingly used for criminal activity. This project also plans to deliver final reports on testing and validation of various cyber forensic tools through the Cyber Forensic Tool Testing (CFTT) program.

**Development Partner(s):** CBP, USSS, ICE, TSA, FBI, State and local law enforcement

**End User(s):** Federal, State and local Law Enforcement agencies (i.e. Secret Service forensic examiners)

*Data Privacy Technologies Project* – This project will increase valuable information sharing across the government and private sector by developing technologies to protect and minimize confidential personal information. The project develops technologies and policies that will better allow organizations to protect, share, and control confidential personal information. The project provides the tools necessary to protect the use of private information. This project plans to deliver a prototype policy-based engine for use in State fusion centers and work with the fusion centers enabling secure information sharing environments by providing automated tools for complying with privacy policies. This project also plans to develop knowledge products and tools to prevent privacy related data breaches for agencies, States, and other private organizations.

**Development Partner(s):** DHS Privacy Office, ICE, TSA, US Citizenship and Immigration Services (USCIS), United States Visitor and Immigrant Status Indicator Technology (US-VISIT), S&T Privacy Office, State and Locals (e.g., Fusion Centers)

**End User(s):** DHS Privacy Office, ICE, TSA, USCIS, US-VISIT, S&T Privacy Office, State and Locals (e.g., Fusion Centers)

*Enterprise Level Security Metrics and Usability Project* – This project will improve the decision-making process for system and network owners and operators in both the Homeland Security Enterprise and the private sector by developing security metrics and supporting tools and techniques that will be useful as decision aids. The project addresses evaluating security at the system level, providing tools that facilitate decision-making and accountability through collection, analysis, and reporting of relevant performance data. This project plans to develop tools to determine the security of system composition, and study the feasibility of applying new metrics to existing security processes.

**Development Partner(s):** Homeland Security Enterprise CIOs, CISOs, Critical Infrastructure owners/operators

**End User(s):** Homeland Security Enterprise CIOs, CISOs, Critical Infrastructure owners/operators

*Experimental Research Testbed Project* – This project improves attack mitigation and confinement strategies and the quality of new cyber security technologies by providing a secure environment to run large-scale, repeatable tests and experiments, which evaluate the defense mechanisms against attacks on the infrastructure. The project worked with the National Science Foundation (NSF) to create the Defense Technology Experimental Research (DETER) cyber security testbed. The testbed facilitates scientific experimentation and validation against established baselines of attack behavior and supports innovative approaches that involve breaking the network infrastructure. Existing testing facilities cannot handle experiments on a large enough scale to represent today's operational networks or the portion of the Internet that might be involved in a security attack. This project plans to continue providing updated open source releases of software developed under the project to the HOST project repository and upgrade testbed hardware for "cloud" like virtualization and dramatically expanded

experiments. This project also plans to evaluate at least five promising solutions for effectiveness in one of the following domain areas: worm defense, routing security, distributed denial of service defense, malware detection, and domain name system security.

**Development Partner(s):** NSF, Pacific Northwest National Laboratory (PNNL)

**End User(s):** Over 2400 users from 15 labs and institutions, 50 companies, 112 colleges and universities

*Homeland Open Security Technology Project* – This project will improve Federal, State, and local government’s access to and use of open source security solutions by increasing the awareness of available open source solutions and ensuring that both currently available and developed open source solutions meet the specific needs of government customers. This project will improve the security of popular open source software currently used in government, foster the development of communities focused on open source security tools, provide a collaborative environment for exchanging and discovering security related research products, and work to ease the certification hurdles related to the adoption of open source software in government. This project plans to sponsor the certification of commonly used security modules and aid the development of open source security technology in gap areas identified by the community; deliver a portal and repository for security research of open source products; develop a resource for open source acquisition and accreditation in the government; and continue to update the inventory of open source software being used across the government.

**Development Partner(s):** S&T CIO, ICE, US-CERT (Computer Emergency Readiness Team), National Protection and Programs Directorate (NPPD), DoD, Dept. of State, Government Integrators, Academia

**End User(s):** S&T CIO, ICE, US-CERT, NPPD, DoD, Dept. of State, Government Integrators, Academia

*Identity Management Project* – This project will enhance the security of information sharing environments and protection of users by improving authentication for persons, hardware devices, and software applications across all levels of government. The project evaluates and develops proof-of-concept solutions, conducts pilot experiments of identity and access control architectures and technologies, as well as data privacy protection technologies, for the homeland security enterprise. This project addresses the inadequate amount of security, trust, usability, policies, and procedures that currently exist in order to secure interactions among stakeholders who wish to ensure their identity is properly protected and managed. This project plans to use the Identity Management Testbed to provide research and tool validation for the Identity, Credentialing, and Access Management (ICAM) Sub-Committee and address requirements from State and local customers for attribute exchange interoperability, mobile and broadband access controls, and smart credential usages.

**Development Partner(s):** Identity, Credentialing, and Access Management (ICAM) Sub-Committee (GSA), NIST, FEMA, State and Local, Public/Private Sectors, DoD, NSA, Defense Information Systems Agency (DISA)

**End User(s):** Federal, State and local, Public/Private sectors

*Internet Measurement and Attack Modeling Project* – This project improves the protection and defense of critical Internet infrastructure by identifying critical Internet resources that are subject to attack. The project incorporates an understanding of geographic and topological mapping of internet hosts and routers and develops modeling and analysis capabilities that predict the effects of cyber attacks on commercial and Federal Government infrastructures. These internet maps enhance internet monitoring and modeling capabilities to identify threats and predict the cascading impacts of various damage scenarios. This project plans to deliver tools to US-CERT providing better capabilities in visualization as well as identification of cyber attacks.

**Development Partner(s):** Australian Government, US-CERT and other Government network operators, internet service providers

**End User(s):** Critical Infrastructure owners and operators, US-CERT, Network operators

*Leap Ahead Technologies (CNCI) Project* – This project will improve cyber security capabilities across the Homeland Security Enterprise by orders-of-magnitude by focusing on cross-cutting, high-risk/high-payoff solutions to critical cybersecurity problems. The project invests in leap-ahead research and development, targeting revolutionary techniques and capabilities that can be deployed over the next decade with the potential to redefine the state of cyber security in response to the CNCI. This project plans to accelerate the transition of new technology for insider threats into commercial cyber security products and services. This project also plans to explore and develop technologies that will improve the survivability and resiliency of cyber systems while experiencing attacks, failures, and other accidents.

**Development Partner(s):** Office of the Director National Intelligence (ODNI), National Security Agency (NSA), Intelligence Advanced Research Projects Activity (IARPA), National Science Foundation (NSF), Department of Energy (DoE), NIST

**End User(s):** ODNI, NSA, IARPA, NSF, DoE, NIST

*Moving Target Defense (CNCI) Project* – This project will improve the security of critical information technology systems by developing tools and techniques which decrease the predictability in a system's defenses, thus ultimately making attacks more difficult. The project enables the creation, analysis, evaluation, and deployment of mechanisms and strategies where one or more system attributes are automatically changed in a way that make the system attack surface area appear unpredictable to attackers while simultaneously ensuring that systems remain dependable to their users and maintainable by their owner. This project plans to develop and prototype component-level techniques, including: abstractions and methods that will enable scientific reasoning regarding Moving Target Defense (MTD) mechanisms and their effectiveness, develop a control mechanism that can abstract the complexity of MTD systems and enable sound, resilient system management. This project also plans to enable the adaptation of MTD mechanisms as the understanding of system behavior matures and our threat evolves.

**Development Partner(s):** DHS Components, other Federal agencies, State and Local entities, private sector, ODNI, DoD

**End User(s):** DHS components, other Federal agencies, State and Local entities, private sector, ODNI, DoD

*Process Control Systems (PCS) Security Project* – This project improves the security of critical infrastructure Process Control Systems, used to monitor sensitive functions from oil and gas pipelines to the power grid, by partnering with private industry and establishing a model in which government agencies can work with each other and private industry to develop appropriate cyber security technologies to meet critical needs. The PCS Security project is broken into two parts: (1) LOGIIC (Linking the Oil and Gas Industry to Improve Cybersecurity), which brings together major oil and gas competitors under a mutual goal to identify and address industry wide security issues as they relate to PCS and (2) TCIP-G (Trustworthy Cyber Infrastructure for the Power Grid) which brings DHS and the Department of Energy together to develop technologies that the private industry has identified as critical for the future of the power grid. This project plans to release best practices and recommendation reports on securing PCS in the Oil and Gas Sector and transition technologies to industry to improve cyber security in the power grid. Technologies include vulnerability assessment and model checking, forensic assessment for large-scale smart grid networks, and non-intrusive load monitoring.

**Development Partner(s):** Department of Energy (contribute \$2.5 million per fiscal year to TCIP-G effort); Five major oil and gas companies (contribute \$500,000 to each LOGIIC project), Industrial Control Systems Joint Working Group (ICSJWG)

**End User(s):** Primarily Electric and Oil & Gas Sectors (potentially Water, Chemical and Transportation Sectors), DHS NPPD Control System Security Program, Critical Infrastructure owners/operators

*Research Data Repository Project* – This project improves the quality of cyber security research and develops solutions by providing the only freely-available, legally collected repository of large-scale datasets containing real network and system traffic. The project created and maintains the repository for use by the cyber security research community to accelerate design, production, and evaluation of next-generation cyber security solutions, including commercial products. This project plans to pursue international agreements in order to promote the exchange of ideas and information among a broader group of the research community. This project also plans to create a Disclosure Control Reference Guide that will provide researchers, evaluators, network data providers, and policymakers the details about the use of current disclosure control technologies on network data, as well as potential directions for new disclosure control technique development.

**Development Partner(s):** N/A

**End User(s):** Researches including: 66 Academia, 39 Commercial, 15 Government Research Labs, 7 non-profits

*Security in Cloud-Based Systems (sCBS)* – This project will increase government efficiencies and security using cloud-based systems by establishing a secure cloud infrastructure. Security in cloud-based systems requires elements of every aspect of cyber security including: secure protocols to protect data flow to, within and out of the cloud; and data integrity, user privacy constraints, forensics analysis to preserve digital evidence, and measurement systems to identify any possible unauthorized activity existing within a cloud-based environment. The approach will be to collaborate with the government organizations responsible for cloud-based architectures, such as National Institute of Standards and Technology (NIST), Federal Chief Information Officer (CIO) Council, and General Services Administration (GSA), to create a resilient, secure cloud-based environment for the Federal Government and private sector. This project plans to identify and develop technologies for initializing and maintaining secure cloud infrastructure, develop technologies for forensics analysis for law enforcement of cloud based systems and data, and outline requirements and identify potential pilot opportunities for integrated secure cloud implementations including authentication, data integrity, trusted applications and user privacy.

**Development Partner(s):** DHS S&T CIO

**End User(s):** DHS S&T CIO

*Secure Protocols Project* – This project improves the security of the Internet’s infrastructure by contributing to fundamentally improving the core functions of the Internet through deployment and adoption of security standards key to the Internet’s communications pathways and protecting user’s online interactions. The project is working with the larger Internet community to develop and deploy standards and tools and that enhance the security of the Internet’s Domain Name System (DNS) and routing infrastructure. This project combines two efforts: Domain Name System Security (DNSSEC) and Secure Protocols for the Routing Infrastructure (SPRI). This project plans to conduct prototype implementations of the Border Gateway Protocol Security (BGPSEC) and demonstrate DNSSEC validation in an enterprise as well as in two additional Internet Service Providers.



**Development Partner(s):** Standards and governance bodies – Internet Engineering Task Force (IETF), North American Network Operators’ Group (NANOG), Internet Corporation for Assigned Names and Numbers (ICANN), National Telecommunications and Information Administration (NTIA)  
**End User(s):** All network-connected entities including all USG agencies, all Critical Infrastructure-Key Resources, the public

*Software Assurance Marketplace (SWAMP) Project* – This project will improve the fidelity of identification of vulnerabilities in software and increase the output of more secure software by providing the infrastructure to test and evaluate software against a multitude of software analysis tools. The project will develop an environment that can be used by open source and commercial software product developers to test the security functionality of their software using source code analysis techniques to discover and eliminate vulnerabilities from large open source codebases. This project plans to deliver and initial operating capability of SWAMP.

**Development Partner(s):** DHS National Cyber Security Division (NCSD)

**End User(s):** Homeland Security Enterprise software users, maintainers, developers

*Software Quality Assurance Project* – This project will improve the ability to detect security vulnerabilities in the software used by our Nation’s critical infrastructure (energy, transportation, telecommunications, banking and finance, and others) and networks by developing enhanced tools and techniques for analyzing the underlying software. The project addresses the presence of internal flaws and vulnerabilities in software and deals with the root of the problem by improving software security. This project plans to continue to produce tools for identifying, analyzing, and rectifying latent vulnerabilities in software; and transition technology to commercial products; deliver Version I of the Tool Output Integration Framework (TOIF); and expand capabilities to include run-time and executable analysis of software. This project also plans to expand capabilities to include run-time and executable analysis of software and provide tools for SWAMP.

**Development Partner(s):** DHS NCSD

**End User(s):** Homeland Security Enterprise software users, maintainers, developers

*Tailored Trustworthy Spaces (CNCI) Project* – This project will improve the ability for critical infrastructure sectors to share information and conduct transactions by establishing “trusted” secure, private and customizable cyber sub-spaces where the functional and technical provisions of the “trusted space” adapts to dynamic requirements. The project provides flexible, adaptive, distributed trust environments that can support functional and policy requirements arising from a wide spectrum of activities in the face of an evolving range of cyber threats. This project supports the CNCI goal of transforming the cyber-infrastructure to be resistant to attack so that critical national interests are protected from catastrophic damage and our society can confidently adopt new technological advances. This project plans to provide the capability to adjust the assurance level on specific security attributes separately and establish trust between systems based on verifiable information including both hardware and software solutions.

**Development Partner(s):** DHS components, other Federal agencies, State and local entities, private sector

**End User(s):** DHS components, other Federal agencies, State and local entities, private sector

*Transition to Practice (TTP) (CNCI) Project* – This project will improve the transition path and likelihood of implementation of Federally funded cybersecurity research into operational use by carrying out proven strategies for successful transition and commercialization. This project partners with the Federal agencies that fund research in cybersecurity and identifies cyber security projects that can be transitioned into operational use or commercialized. This project will initiate experimental

deployment activities from testing to full operational use. This builds on the S&T Directorate's process of funding projects through the full Research and Development (R&D) lifecycle: research, development, testing, evaluation, and transition. This project plans to use events such as the DHS S&T Directorate sponsored IT Security Entrepreneur Forum, the National Lab Technology Demonstrations, and the DoD/DHS Joint Venture Catalyst Initiative to demonstrate technologies to both industry and the government. This project also plans to transition at least two cybersecurity technologies into the operational environments of the Homeland Security Enterprise.

**Development Partner(s):** Homeland Security Enterprise

**End User(s):** Homeland Security Enterprise

**Disaster Resilience Research & Development Thrust** – FY 2012: \$61.486 million. FY 2013 request: \$143.738 million. Efforts include reduction of vulnerability of critical infrastructure, key leadership, and events to terrorist attacks and other hazards; with State, local, tribal and territorial governments, secure their information systems; working with local and regional partners to identify hazards, assess vulnerabilities, and develop strategies to manage risks associated with all hazards; increasing the state of preparedness of State, local, regional, tribal, and territorial partners, as well as nongovernmental organizations, the private sector, and the general public; advancing and improving disaster emergency and interoperable communications capabilities; and, improving the capabilities of DHS to lead in emergency management.

**Bioagent Attack Resiliency Program** – Provides advanced planning, develops Concept of Operations (CONOPS), develops, and provides capabilities to support forensics, laboratory response, personnel protection, and decontamination, and utilize exercises and training for responding to and recovering from a biological disaster. This program includes actions to limit the spread of disease among animal species to protect the United States economy.

**Adaptive Facility Protection (Bio)** - This project will improve the ability of facility operators to protect buildings by the development of a rapid biodetection architecture for infrastructure and the assessment of technology for use in facilities to effect prompt warning and response. This project contains two initiatives. The first initiative develops Adaptive Chemical/Biological (CB) Facility Protection guidance. This initiative will develop descriptions and documentation of recommended elements for a complete architecture to incorporate biological and chemical detection systems with both active and passive facility response systems. The second initiative is a Rapid Biodetector Assessment. This initiative will test two rapid biological detection systems developed by DHS S&T in the Detect to Protect project to the Federal Standards for Assay Performance and Equivalency (FSAPE) or Public Safety Actionable Assays (PSAA) standards. These sensors have been developed for rapid, automated detection of a biological release within minutes in high population movement transportation facilities and other critical indoor facilities. This project plans to produce a guidance document for buildings and facilities that benefit most from CB detection systems coupled to the active and passive building control systems, incorporating linkage of alarms to local response units and facility access control, in order to minimize human exposures and reduce contamination spread. This project also plans to test the Detect to Protect rapid biological detection systems against the FSAPE or PSAA standards in an independent test facility.

**Development Partner(s):** Funded solely by DHS

**End User(s):** Office of Health Affairs (OHA), Transportation Security Administration (TSA), DHS Federal Protective Service (FPS), United States Secret Service (USSS)

**Bioforensics Research and Development (R&D) Project** – This project provides investigators, such as the FBI, CBP and USSS, with techniques to identify source material collected from a bio-crime in

order to pursue legal prosecution against the party responsible. This is accomplished through the development of advanced forensic capabilities to determine the source and production method of biological threat agents (BTAs) collected from crime scenes. The Bioforensics R&D project leads national research efforts in microbial forensics. Specifically, the project develops protocols for characterization and identification of BTAs, and utilizes a robust sample management, molecular signatures, and physical/chemical analysis research program. This project plans to fully implement the Microbial Forensics Encyclopedia database at NBFAC and initiate an effort to build a national sequence database for use in whole genome comparison forensics analysis. Additionally, this project plans to transition an improved vacuum sampling technology, currently under development, to the Federal Bureau of Investigation (FBI) and other first responders for validation.

**Development Partner(s):** Funded solely by DHS

**End User(s):** FBI, DHS NBFAC, DHS USSS, CBP, Department of Defense (DOD), Defense Threat Reduction Agency (DTRA)

*Chem-Bio Event Characterization Project* – This project will improve the capability of the response community to rapidly determine the extent of chemical or biological contamination in an urban area following an event. This project addresses one of the high priority needs expressed by the emergency management, environmental, and public health communities. The effort will address the requirement for rapid environmental assessment methods integrated with health surveillance data to properly inform risk-based decisions regarding needed actions to respond to and mitigate the event. The outcome of the project is envisioned to be a system of tools and methods for emergency responders in public health, environmental cleanup, and emergency management at the Federal, State, and local levels to utilize in execution of their emergency response duties. This project plans to technology solutions including the feasibility of modifying commercial off-the-shelf (COTS) or military-fielded equipment for this purpose, and develop methods for rapid environmental assessments.

**Development Partner(s):** Funded solely by DHS

**End User(s):** Federal Emergency Management Agency (FEMA), Environmental Protection Agency (EPA), Centers for Disease Control and Prevention (CDC), State and Local responders

*Decontamination, Disposal and Depopulation Project (3D)* – This project will improve Federal, State, and local animal health officials emergency response CONOPS to control the spread of foreign animal diseases (FAD) and mitigate the impact on the livestock industry. This project will develop, in coordination with United States Department of Agriculture (USDA) and Environmental Protection Agency (EPA), new and/or enhanced animal health emergency response tools, technologies and associated CONOPS. The project is designed to increase capacity and to ensure that decontamination, disposal, and depopulation activities are performed rapidly, humanely, and in an environmentally protective manner. This project plans to finalize the feasibility of the system for large-scale, on-farm depopulation of swine and complete the testing and evaluation of the mobile gasifier animal depopulation technologies.

**Development Partner(s):** USDA, EPA

**End User(s):** USDA, Food and Drug Administration (FDA), EPA, Industry producers, first responders, State and local governments

*FAD Vaccine and Diagnostics Project* – This project will strengthen the defense of the U.S. agricultural infrastructure by developing new and next generation countermeasures (vaccines and diagnostics) to protect the livestock industry against Foot and Mouth Disease (FMD) and other high consequence Foreign Animal Diseases (FADs). This project directly addresses Homeland Security Presidential Directive HSPD-5 and HSPD-9 by ensuring that USDA and other first responders in the animal agriculture community have the tools needed to safely and effectively respond to and recover

from foreign animal and zoonotic disease outbreaks. New and next generation countermeasures are developed and transitioned directly to USDA or through veterinary biologic industry partners for commercialization and access by USDA. This project plans to coordinate with animal health industry partners on regulatory development programs for vaccine candidates for Rift Valley Fever, Classical Swine Fever, and Henipavirus. This project also plans to complete development regulatory requirement (master seeds) for additional FMDV serotypes/subtypes molecular vaccine candidates.

**Development Partner(s):** USDA, DOD, Multiple Veterinary Biologics and Biotech companies

**End User(s):** USDA

*National BioForensics Operations (NBFAC) Project* – This project ensures the provision of unimpeachable technical data for use by law enforcement authorities in the investigation and prosecution of crimes involving biological agents. The National Bioforensics Analysis Center (NBFAC) is the Nation’s lead facility for technical analysis of samples from biocrime and bioterror investigations. As an operational facility, NBFAC provides Federal law enforcement agencies with centrally coordinated and validated capabilities for sample handling, sample processing, and bioforensic analyses of evidentiary material derived from biocrime and bioterror investigations or from the actual use of biological agent. NBFAC also validates protocols for the identification and characterization of the biological, chemical and physical ‘fingerprints’ that those samples may contain; rigorous chain-of-custody and quality-control procedures to ensure the integrity of the sample and its analysis; and maintains 24/7 continuous hub-and-spoke laboratories to provide casework support and additional specialized capabilities. This project plans to develop capability for the identification and characterization of rare variants and quasi species.

**Development Partner(s):** FBI

**End User(s):** FBI, USSS

*NBAF Agro-Defense Research and Assessment Project* – This project develops countermeasures against high priority diseases that threaten US livestock. Funds will be used to augment and complement current and ongoing research by accelerating programs focused on African Swine Fever and Classical Swine Fever at Kansas State University. This effort will also identify and prioritize future research at the BioSecurity Research Institute and other facilities by identifying emerging animal diseases and agents with potential for terrorist use; develop and execute the certification steps necessary for studying such high priority diseases and agents in the US; and develop public outreach plans to ensure all stakeholders understand the value of the proposed research and the safeguards in place to ensure such research will be done safely in U.S. facilities.

**Development Partner(s):** Kansas State University

**End User(s):** U.S. agriculture sector

*Operational Tools for Response and Restoration Project* – This project will improve response and restoration after an attack of a biological threat agent by providing validated interagency sampling plans and improved statistical sampling designed to support characterization and decontamination planning. This project develops a suite of state-of-the-science indoor-outdoor predictive tools to characterize the extent and degree of contamination, incorporating the best-available deposition, degradation, and surface viability data.

**Development Partner(s):** Department of Defense Threat Reduction Agency (DTRA), Idaho National Laboratory (INL), Sandia National Laboratory (SNL), US EPA

**End User(s):** EPA

*Systems Approaches for Restoration Project* – This project improves the restoration of wide urban areas following chemical, biological, or radiological release through the development of guidance for

technologies to be used, procedures to enhance communications among impacted government and private entities, and prioritization of infrastructures to be addressed during the restoration process.

**Development Partner(s):** DOD, Denver Urban Area Security Initiative

**End User(s):** DHS OHA, FEMA, EPA, DOD, Denver Urban Areas Security Initiative (UASI), State and local government, tribal nations, and industry

*Underground Transport Restoration Project* – This project will improve the capability for transit systems to rapidly recover from a chemical or biological event, addressing a high priority need expressed by TSA and Transit systems. The projects will identify potential solutions to the requirements for rapid characterization, clean-up, and clearance of the chemical or biological contamination in the physical structures (tunnels, stations) and rolling stock (railcars, buses). The outcome of the project will be a system of tools and methods for transit systems in partnership with public health, environmental cleanup, and emergency management at the Federal, State, and local levels to perform emergency response and recovery. This project plans to determine requirements, assess potential technology solutions including the feasibility of modifying COTS, develop methods for rapid recovery and functionality of transit systems, and develop protocols for rapidly determining the extent of contamination and risk base clearance goals.

**Development Partner(s):** Funded solely by DHS

**End User(s):** TSA, EPA, CDC, OHA, FEMA

*Chemical Attack Resiliency Program* – Provides advanced planning, develops Concept of Operations (CONOPS), develops and provides capabilities in forensics, laboratory response, personnel protection, and decontamination, and utilizes exercises and training for responding to and recovering from a chemical disaster.

*Adaptive Facility Protection (Chem)* – This project will improve the ability to protect buildings and facilities from a chemical spill accident or a deliberate attack. This project will closely examine large scale toxic chemical release in transport. This extension of the Model-Large-Scale (MLS)/Jack Rabbit project initially conducted in limited scale in FY 2010 will yield an immediate benefit to understanding and mitigating the risk of a large-scale toxic chemical release from a railcar. This effort will involve the planning and design of expanded field release testing to 10-ton release trials, allowing for direct experimentation with the threat chemical and at the amounts involved in a catastrophic release event. The test campaign directly evaluates the impact to an urban environment, utilizing a strategically designed mock urban setting as a test bed. Primary objectives will be to experimentally determine modeling parameters and inputs for large scale releases, determine the exposure effects on urban infrastructure, electronics, vehicles, and emergency equipment, directly assess mitigation measures, and experimentally define building and structure infiltration behavior of the toxic chemical. Experimentally determined indoor concentration profiles will be a critically important deliverable, allowing for unprecedented improvements in consequence assessment. Additionally, these dispersion modeling studies will provide key data sets for improving modeling methodologies. This project plans to produce reports targeted to Transportation Security Agency detailing impacts to urban areas of large-volume toxic chemical releases, characterization of release characteristics for further modeling, guidance on infiltration of toxic gases into buildings and shelter-in-place principles, and gas dispersion characteristics for use in future modeling studies.

**Development Partners:** DHS

**End Users:** Building and facility owners such as GSA and other government agencies

*Chemical Forensic Project (Chem FP)* – This project will improve the ability of the FBI, DHS, and other law enforcement components to conduct investigations of chemical terrorist and criminal acts by

associating evidence with people, places, and other events, as well as potential attribution to their original source. The project develops and maintains a robust and enduring national capability for the collection, preservation, and processing of chemical threat agents (CTAs) and associated evidence to provide comprehensive and timely forensic analysis and attribution. This project plans to develop and transition additional collection and preservation methods, as well as design workshops and moot courts to identify and evaluate law enforcement and judicial admissibility issues as well as challenge the scientific underpinnings of chemical forensics methods.

**Development Partner(s):** Funded exclusively by DHS

**End User(s):** FBI

*Integrated Consortium of Laboratory Networks (ICLN) Project* – This project will improve coordination of laboratory response to incidents by promoting common standards of performance across laboratory response assets of multiple Federal agencies. This project provides optimized national laboratory preparedness consisting of a national homeland security infrastructure with a coordinated and operational system of laboratory networks that provide timely, high-quality, interpretable results for early detection and effective consequence management of acts of terrorism and other events requiring an integrated laboratory response. This project plans to complete a refined laboratory response gap assessment model.

**Development Partner(s):** Funded solely by DHS

**End User(s):** DHS OHA, DHHS, USDA, EPA, DOD, FBI

*Integrated Detection/Decontamination Demonstration Project* - This project reduces the overall time for recovery of critical infrastructure from contamination by emerging chemical agents. The project demonstrates newly evolving tools for detecting the release, mapping contamination, and monitoring the decontamination process for facility clearance.

**Development Partner(s):** DOD

**End User(s):** EPA, CDC, DOD

*Explosives and Radiological Nuclear Attack Resiliency Program* – Provides advanced planning, develops CONOPS, develops materials and funds exercises and training for responding to and recovering from a disaster employing explosive, or a radiological, or nuclear device, or explosives.

*Blast Analysis of Complex Structures Project* – This project provides computational tools and methods for blast engineers to calculate blast loads in dense urban environments to estimate damage to buildings resulting from Improvised Explosive Device (IED). The Federal Emergency Management Agency (FEMA), commercial and government facilities, State and local governments, code officials, associations of engineers, and architects can use the tools to quickly calculate structural responses to a range of explosives and their effects on structures so that mitigation techniques may be applied and analyzed. This project plans to produce a version of the fast-running airblast tool that is applicable to any urban environment.

**Development Partner(s):** OIP, NYPD Counterterrorism Office, the CITY of New York Emergency Management, FEMA, commercial and government facilities, State and local governments, code officials, associations of engineers and architects

**End-user(s):** first responders, Federal, State and local governments, code officials, associations of engineers and architects

*Blast/Projectile – Protective Measures and Design Tools Project* – The project develops and tests technologies, assesses vulnerabilities, identifies mitigation schemes, and investigates materials to protect transit infrastructure such as bridges, tunnels, and mass transit. This project will expand

existing protective measures by making them less expensive, easier to apply, and more effective, and will develop entirely new materials and design concepts for additional classes of infrastructure. Protective measures may include mechanisms to reduce blast effects, rapid mitigation and restoration technologies, and other defensive measures. The project works closely with several mass transit agencies, including the Port Authority of New York and New Jersey, Bay Area Rapid Transit (San Francisco, California), and the Massachusetts Bay Transportation Authority to protect critical components of subway systems from terrorist threats. In close coordination with the Transportation Security Administration (TSA) and transit systems, the project is developing new technologies to address key vulnerabilities in tunnels and stations. This project plans to conduct analyses and develop mitigation schemes for two critical mass transit assets and provide design guidance for protection of bridges and mass transit structures.

**Development Partner(s):** TSA, and several mass transit agencies, including the Port Authority of New York and New Jersey, Bay Area Rapid Transit (San Francisco, California), and the Massachusetts Bay Transportation Authority

**End-user(s):** Transportation Agencies

*Radiological Nuclear Response and Recovery Project* – This project will improve the Nation’s ability to respond to and recover from the effects of a nuclear/radiological attack. The program builds off of work being completed by DNDO, FEMA, DOD, and other interagency partners and addresses technology and research in such areas as public warnings, alerts and communications, reestablishment of critical infrastructure, remediation of impact areas, and community and responder health and safety. This project plans to coordinate efforts to develop a technology and research road map identifying and prioritizing gap areas, conduct basic and applied research into identified gaps, identify existing potential technology solution, and test and evaluate existing solutions. S&T will build on research and development on going in the national labs and with our international partners to prioritize transition to use technologies in conjunction with ongoing work with DNDO’s program, Secure the Cities and other such programs.

**Development Partner(s):** DNDO, FEMA, DOD

**End-user(s):** First Responders

*Render Safe/Diagnostics Project* – This project increases standoff capabilities, reduces collateral damage and provides more precise improvised explosive device (IED) disruption and disablement capabilities and techniques for bomb squads.

**Development Partner(s):** Remote Sensing Laboratory and Tactical Electronics

**End User(s):** First responders and Bomb Squads

*First Responder Capability Program* – Develop technologies, information, procedures, and CONOPS to aid first responders, emergency managers, and incident commanders as they respond to hazardous situations. Assist the emergency response communities to establish requirements. Tests technologies and assesses them for usability to help make the technologies available across all First Responder communities.

*Advanced Incident Management Enterprise System (AIMES) Project* – This project will improve emergency responders’ ability to share information between disparate software application systems by integrating all elements of the incident management enterprise to provide a secure, scalable, interoperable, and unified situational awareness to the emergency management and first responder community. The project builds upon the Unified Incident Command and Decision Support (UICDS) architecture by providing an integrated, interoperable, and unified common operating picture with total visibility into incident information, resources, environment, logistics supply chain, response, and

recovery plans, methods, tactics, and policies. A focus of this project is areas where there is a mix of critical commercial, sporting, convention and government facilities in close proximity to each other such that a disaster event in one facility could trigger large scale evacuations in surrounding facilities. This project also plans to enlist more privately and publicly developed software applications and create a consortium of users to advance its use and to inform its evolution. Additionally, this project plans to begin the transition of research responsibilities for future AIMES improvements from S&T to the university and private sector members of the consortium.

**Development Partner(s):** Pacific Northwest National Laboratories (PNNL), National Institute for Hometown Security, U.S. Army Research, Development and Engineering Command, universities

**End-user(s):** Federal, State, local, tribal, private industry, non-profit organizations, DOD

*First Responder Technologies Project* – This project increases the availability and reliability of technology solutions for first responders by developing and designing technologies to address capability gaps identified by Federal, State, local, and tribal first responders. This project conducts operational field assessments of technologies, and makes technology available to all first responder communities through commercialization. The project plans to continue working with local, tribal, State, and Federal first responders through the First Responder Resource Group, the Homeland Security Studies and Analysis Institute, and the InterAgency Board for Equipment Standardization and Interoperability to identify capability gaps and requirements and develop innovative solutions to meet those needs.

**Development Partner(s):** Synkera Technologies, Inc; L1 Identity Solutions; National Institute for Occupational Safety and Health (NIOSH); TRADOC; Homeland Security Studies and Analysis Institute; and the InterAgency Board for Equipment Standardization and Interoperability

**End User(s):** USCG, USSS, ICE, CBP, US-VISIT and law enforcement, fire, EMS, and other emergency response agencies nationwide

*Geospatial Location Accountability and Navigation System for Emergency Responders (GLANSER) Project* – This project will improve accuracy and signal penetration inside enclosed areas (i.e., collapsed buildings, subterranean facilities, or underground), enhance situational awareness. This project will also enable incident commanders to rapidly and effectively redeploy and save at-risk responders during an incident, by developing a three-dimensional (3D)-locator prototype sub-components to track first responders within an accuracy of less than three meters. The project develops an advanced first responder system that will enable incident commanders and decision makers to visually track responders and provide incident commanders the ability to accurately locate and track personnel. This project plans to develop and publish a product transition plan while finalizing the system components and concept of operations (CONOPS) to meet the relevant National Fire Protection Association (NFPA) standards, as well as develop a training manual to support over 100 first responders at a location.

**Development Partner(s):** FEMA, State and local emergency managers and first responders, DOD

**End-user(s):** State and local emergency managers and first responders

*Physiological Health Assessment Sensor for Emergency Responders (PHASER) Project* – This project allows incident commanders to monitor physiological status of personnel and save at-risk responders during an incident by developing a baseline for the overall physical health of the responder. In addition, this project renders an alarm notification metrics for on-scene responders on the verge of experiencing a heart attack or other life-threatening conditions. The project develops an integrated sensor package that monitors a responder's vital signs such as cardiac rhythm, heart rate, blood pressure, body temperature, and oxygen saturation, which could indicate Pre-Ventricular Contractions



(PVCs) or cardiac arrhythmias, and will warn both the wearer and command staff of life-threatening physiological conditions during an incident.

**Development Partner(s):** FEMA, State and local emergency managers and first responders, DOD

**End-user(s):** State and local emergency managers and first responders

*Technology Clearinghouse Project* – This project increases first responders’ ability to collaborate and share best practices to enhance homeland security through certified and accredited web-based central resource systems (i.e., FirstResponder.gov and First Responder Communities of Practice). This project also provides technology developers with requirements and operational information that assist in developing useful tools and provides users with information to develop or deploy technologies. The project plans to continue to grow membership and communities on First Responder Communities of Practice, operate and maintain First Responder Communities of Practice and FirstResponder.gov, and provide outreach to the first responder community and Federal agencies.

**Development Partner(s):** Teracore; Booz Allen Hamilton

**End User(s):** Local, State, Federal, territorial, tribal, governments, private sector and industry partners

*TechSolutions Project* – This project increases the speed of prototyping and transitioning emergent high priority technologies to the first responder community by capturing, reviewing, verifying, and developing technology needs identified by first responders. TechSolutions validates capability gaps and first responder priorities by working with a panel of first responder subject matter experts to include the InterAgency Board for Equipment Standardization and Interoperability. The project plans to address new first responder capability gaps identified through the TechSolutions website, the First Responder Resource Group, and outreach efforts at conferences and other relevant first responder venues as well as transition technology to the end users.

**Development Partner(s):** Center for Commercialization of Advanced Technologies; Homeland Security Advanced Research Project Agency; National Urban Security Technology Laboratory (NUSTL); Advanced EMS Designs; Applied Research Associates, Inc.

**End User(s):** DHS Office for Bombing Prevention; the National Bomb Squad Commanders Advisory Board; municipal bomb squad commanders; and law enforcement, fire, EMS, and other emergency response agencies nationwide

*Information Sharing, Analysis, and Interoperability Program* – Creates an integrated information sharing architecture and links that architecture to interagency efforts to prevent terrorism while protecting privacy, civil rights and civil liberties; Researches, analyzes, and develops technologies to strengthen interoperable communications and improve effective information sharing at all levels of government.

*Biometric Data Base Interoperability Project* - This project will enable CBP, ICE, USCG, USSS, and USCIS to cost-effectively and operationally effectively match, analyze, and exchange biometric and actionable identity based information within DHS and with other Federal agencies such as DOD and FBI. Currently, Federal agencies have varying resources and capabilities to: 1) match biometric data, 2) rapidly develop context-specific intelligence, and 3) distribute actionable information to relevant stakeholders. This project plans to design and pilot more efficient federated architectures and analytical capabilities that allow each agency to support the demanding high-volume of transactions and short response times required of its mission partners. The intent is to support the operational needs of mission partners without overwhelming organizations that have limited capabilities and resources. This project plans to develop a baseline assessment of existing DHS matching, analysis, and sharing operations and identify capability gaps within DHS and between DHS and its mission partners.

**Development Partner(s):** TBD

**End User(s):** ICE, CBP

*Collaboration Project* – This project will improve technical expertise in the areas of data analytics and visualization by establishing valuable scientific and technical collaborations with partners outside the DHS research community. The project enables the Science and Technology Directorate to take advantage of research activities underway in other government and industry laboratories and in universities in the U.S. and abroad.

**Development Partner(s):** FEMA, ICE and State and local emergency responders

**End-user(s):** State and local emergency responders

*Common Operating Picture (COP) Data Fusion Technologies Project* – This project will improve public safety practitioners' incident planning and response by using evacuation planning tools that will efficiently model evacuation scenarios using transportation network and population data with visual analytics. The project develops capabilities to integrate, analyze, and visualize multiple information sources to address public safety practitioner requirements within Homeland Security Enterprise standards. This project plans to transition RtePM to an operational support organization, enhance resilience with additional functionality and engineering design elements to facilitate, reuse, and transition, as well as transition the symbology service to the DHS Geospatial Information Infrastructure. This project also plans to perform requirements and capabilities analysis and development of additional components of the Emergency Management Decision Support Toolkit, an interoperable suite of tools and services to assist in decision making during emergencies. The priorities include real time acquisition and display of road and shelter conditions, tracking of vehicles and assets, enhanced damage assessment, mass location and movement tracking, response coordination via 3G Networks, and crowd sourcing for incident management.

**Development Partner(s):** FEMA, USACE, DHS Geospatial Management Office (GMO), State and local law enforcement agencies, State and local emergency management agencies

**End-user(s):** FEMA, State and local emergency management organizations

*Converged Interoperable Communications Project* – This project improves the ability for first responders to effectively and efficiently coordinate and communicate preparations for response and recovery efforts through the development of an integrated communication system. This project also identifies practitioner requirements, enables effective coordination across organizational and jurisdictional boundaries, and develops tools to address first responders' needs. The project plans to develop improved, networking technology that will allow emergency responders to share information and wireless broadband networks, as well as evaluate existing technologies. These networks may be shared between local jurisdictions to create a regional network or with commercial entities through a public-private partnership. The project also plans to focus on identifying capability caps and gathering requirements for interoperable communications and information sharing in coordination with organizations such as the National Public Safety Telecommunications Council and the InterAgency Board for Equipment Standardization and Interoperability.

**Development Partner(s):** National Public Safety Telecommunications Council; the InterAgency Board for Equipment Standardization and Interoperability; Federal Emergency Management Agency (FEMA); USCG; National Protection and Programs Directorate (NPPD); Department of Defense (DOD); Department of Justice (DOJ); private sector

**End User(s):** Law enforcement, fire, EMS, and other emergency response agencies nationwide

*Discrete-Element Computing, Privacy, and Forensics Project* – This project will improve real-time evacuation planning and response capabilities for buildings, events, cities, and regions by operating in real-time via dynamic, streaming data such as unstructured text, database records, imagery, video and

audio, and include networked sensor surveillance data. This project will develop specialized high-performance computing technologies and techniques for managing, processing, and analyzing multiple data types, modes, and structures from diverse sources and locations. This project plans to integrate with the *Visual Analytics, Precision Information Environments (VAPIE) Project*.

**Development Partner(s):** FEMA, CBP, ICE, Port of Seattle, and Washington State and local users

**End-user(s):** Northwest USA consortium of Federal Emergency Management Agency, CBP, ICE, Port of Seattle, and various Washington State and local users

*Emergency Data Exchange Language (EDXL) Project* – This project provides a suite of standardized emergency-messaging formats for first responders to collaborate and share life-saving resources. This project improves the speed and quality of coordinated response activities in real time by sending messages to first responders' through tablets, computers, and phones with EDXL-compliant software. This project facilitates the research, development, testing, and evaluation of practitioner-driven, information-sharing standards and encourages their implementation into software, systems, and devices. The project plans to submit the Tracking of Emergency Clients (TEC) standard to the Organization for the Advancement of Structured Information Standards (OASIS) for approval. The project also plans to work with the OASIS, Practitioner Groups and Steering Committees, DHS, and HHS to determine the appropriate integration of the Tracking for Emergency Patient (TEP) and TEC standards into existing legacy systems, and assist in the development, testing and publication of the standards in new products. TEP and TEC enable the tracking and updating an emergency patient's location, condition, and care, as well as notification of family members.

**Development Partner(s):** OASIS; National Incident Management; the National Information Exchange Model; Evolution Technologies; and SRA International.

**End User(s):** Law enforcement, fire, EMS, and other emergency response agencies nationwide

*Integrated Data Processing and Analysis Project* – This project will improve intelligence analysts' ability to share situational awareness and "connect the dots" of information that is legally collected by DHS to protect the Nation through analysis and sharing of data. The project develops scalable technologies for the integrated analysis of free text, database records, audio, video, imagery, transactional data, geographical data, and sensor information. This project plans to deliver information sharing capabilities for law enforcement, to include: multi-jurisdictional alerts; enhanced data access from field agents through mobile devices; and scars, marks, and tattoos identification. Additionally, this project plans to deliver the capability for law enforcement to share tribal vehicle and driver information, warrants, and license plate information. This project also plans to pilot device agnostic applications for mobile devices and develop detailed plans for portal technology implementations as well as deliver an automated capability to match suspicious activity, police, and intelligence reports against known Critical Infrastructure-Key Resources (CI-KR) vulnerabilities.

**Development Partner(s):** Automated Regional Justice Information Center (ARJIS), International Justice and Public Safety Network ((Nlets)

**End-user(s):** ICE Homeland Security Investigation (HSI), law enforcement

*Internet Protocol (IP) Communications Test and Evaluation Project* – This project provides our Nation's first responders with the capability to deploy the most appropriate and affordable communications equipment to meet their mission-critical needs. The project's two focus areas: Voice Over Internet Protocol (VoIP) and Video Quality in Public Safety (VQiPS), support the long term goal of enhancing public safety interoperability by encouraging industry to build equipment to meet the needs of the emergency responders. The project plans to develop additional VoIP implementation profiles and publish a compendium of requirements for VoIP.

**Development Partner(s):** Office of Emergency Communications (OEC); Transportation Security Administration; Public Safety Communications Research Program; National Public Safety Telecommunications Council; SRA International

**End User(s):** Law enforcement, fire, EMS, and other emergency response agencies nationwide; equipment manufacturers

*Law Enforcement Data Fusion Project* – This project enhanced the Federal Air Marshal Service (FAMS) ability to detect, forecast, disrupt terrorist attacks, and criminal activity by developing geospatial predictive analytics tools. In addition, this project aids law enforcement in combating terrorism, criminal gang activity, and conventional violent criminal activity before an event occurs. The project will also analyze the location of historically documented incidents and the features of the environment that influence or constrain events to forecast the locations of future events.

**Development Partner(s):** Federal Air Marshal Service (FAMS)

**End-user(s):** FAMS, law enforcement

*Multi-Band Radio (MBR) Project* – Supports the testing and evaluation of MBR technologies manufactured by multiple vendors through demonstrations and pilots nationwide. These efforts will focus on testing the radio's operation across multiple systems - analog, conventional, digital, and current Project 25 adjusted - and multiple public safety agencies, including: local, tribal, State, and Federal (e.g., Department of Defense (DOD), Department of Justice (DOJ), and DHS).

**Development Partner(s):** Thales Communications, Inc. Harris Corporation

**End User(s):** Multiple agencies that cross Federal Operational Missions including; DHS Directorates (CBP, ICE, FEMA, FPS, USCG), Departments of the Interior; Justice, Defense, local law enforcement, fire, EMS, critical infrastructure protection entities, and other emergency response agencies across the Nation

*Overhead Imagery Data Project* – This project will increase decision-makers' situational awareness and extent of disasters through development of a phenomena-based selection of sensor systems and optimization of tasking satellite and airborne assets to deliver critical information to incident commanders for every phase of the disaster. The project uses advanced geographic information science (GIScience) techniques to support the application of remote sensing, image processing, geographic information systems, digital cartography, and spatial modeling for disaster management and hazards research. This project plans to deliver the architecture and develop methods for incorporation into the concept of operations (CONOPS) and standard operating procedures of FEMA, as well as State and local response agencies. This project also plans to conduct testing of an advanced remote sensing system that contains capability for real-time, day/night imaging with distribution of image data to first responders via a mobile application.

**Development Partner(s):** FEMA, Urban Search and Rescue (USAR), emergency response agencies in California, Mississippi, North Carolina, and South Carolina, Civil Air Patrol, and the Los Angeles County Fire Department

**End-user(s):** FEMA, USAR, emergency response agencies in California, Mississippi, North Carolina, and South Carolina, Civil Air Patrol, and the Los Angeles County Fire Department

*Suspicious Activity Reporting (SAR) Project* – This project will increase the investigators' analytic capabilities to search, find, explore, link and understand relationships within Suspicious Activity Reporting (SAR), and other law enforcement structured or unstructured data by developing an open-source analytical toolkit (iConnex). The project uses a flexible and adaptive framework to empower analysts, investigators, and watch standers to detect and understand complex relationships within their law enforcement or terrorism-related data. This project plans to deploy the analytical tool for the DHS

Office of Inspector General (OIG), which has the responsibility to investigate FEMA disaster relief fraud. Following mission specific capability enhancements, iConnex, will transition to the DHS OIG as an aid to financial fraud recovery.

**Development Partner(s):** Federal Air Marshal Service (FAMS), Office of Inspector General (OIG)

**End-user(s):** FAMS, OIG, law enforcement agencies

*Tagging, Tracking, and Locating Project* – This project will reduce the risks of firefighters when responding to emergencies by developing a personal alert and tracking system to alert dispatchers of a firefighter’s status and location with 10 meter accuracy. The project develops technologies to provide tagging, tracking, and locating devices for the first responder community. This project will detect status information such as temperature, the presence of an electric field, and the detection of impact. The firefighter location information is then received by the dispatcher in a form that can be visually displayed using online maps. This project also supports the law enforcement investigative community by providing research which will improve the forensics capability of Federal, State, Local, Tribal and Territorial entities.

**Development Partner(s):** California Department of Forestry and Fire Protection (CALFIRE), United States Forest Service, National Operation Center, FEMA, State and local emergency operation centers, urban search and rescue (USAR) operations, Department of Energy, Ames Laboratory

**End-user(s):** California Department of Forestry and Fire Protection (CALFIRE), United States Forest Service, National Operation Center, FEMA, State/local emergency operation centers, Urban Search and Rescue (USAR) operations, Immigration and Customs Enforcement Forensics Document Laboratory (ICE FDL)

*Virtual USA (vUSA)* – This project helps to save lives and protect property by sharing information and providing relevant, reliable, real-time information during day-to-day and catastrophic incidents at all levels of government. Virtual USA integrates existing frameworks and investments of the emergency response community to improve situational awareness and decision making by providing real-time access to operational information, such as weather conditions; traffic; the location and operational status of critical infrastructure; fuel supplies; availability of emergency shelters and medical facilities; and other critical information. vUSA plans to update methodologies for jurisdictions to create their own information sharing platform and inform their information sharing initiatives. vUSA also plans to be demonstrated as part of FEMA’s National Level Exercise.

**Development Partner(s):** FEMA, NPPD, Office of Intelligence and Analysis, and other DHS operational Components; SRA International; Teracore, Booz Allen Hamilton; Pacific Northwest National Laboratory

**End User(s):** States in the Southeast (11 States), Pacific Northwest (four States), and the Central U.S. Earthquake Consortium (eight States); and law enforcement, fire, EMS, and other emergency response agencies and emergency operations centers nationwide

*Visual Analytics, Precision Information Environments (VAPIE) Project* – This project will enable diverse, diffuse, and dynamic data to be visualized in a user friendly form for the Northwest USA local, tribal, State, and Federal first responder, law enforcement, public safety, and public health communities. The data will be shared, analyzed, and understood in real time by developing advanced visualization-based techniques and technologies. This project focuses on developing informed decision-making capabilities for larger and longer-term disasters, which can have complex or even cascading consequences on multiple infrastructures, facilities, and communities. This project plans to expand the capabilities and create information environments tailored to specific users and applications, which combine real data from Virtual USA, Unified Incident Command Decision Support (UICDS), and Next generation Incident Command System (NICS) with models and simulations, and enable real-

time prediction and testing of potential emergency responses. This project also plans to integrate with the *Discrete-Element Computing, Privacy, and Forensics Project*.

**Development Partner(s):** FEMA, USCG, CBP, ICE; six local and State law enforcement and public safety agencies, as well as port commissioners; and representatives of four commercial companies

**End-user(s):** Northwest USA local, tribal, State, and Federal first responder, law enforcement, public safety, and public health communities

*Wireless Broadband Technology Project* – This project is a joint initiative between Customs and Border Protection (CBP) and S&T to investigate and assess technologies to meet CBP’s complete tactical communications need for mission-critical voice, data, and video on a single, highly reliable, converged network. This project enables emergency response agencies’ ability to determine and articulate their requirements for wireless broadband technologies by providing response agencies with the capability to assess new technologies that they can use to determine optimal interoperable communication devices and networks to procure and deploy. The project plans to develop operational guidelines for use of broadband data in mission-critical activities.

**Development Partner(s):** CBP, OEC, FEMA, and industry

**End User(s):** CBP, Emergency Medical Services (EMS), law enforcement, fire, and other emergency response agencies nationwide

*Natural Disaster Resiliency Program* – Develops and provides advanced planning, CONOPS, disaster management tools, and training aids for responding to and recovering from a large-scale natural disaster. This includes providing assistance to the private sector to “design-in” greater resilience for critical infrastructure and providing DHS with more robust tools for disaster response, disaster logistics, individual and public assistance programs, and national continuity programs.

*Community Resilience Project* - This project will develop and evaluate a program focused on training local leaders on effective risk communication practices related to homeland-security threats. The training program will reflect the current scientific understanding of effective communication of threats and risk related to preparedness, warnings of imminent threats, and post-event recovery and mitigation. Training curricula will be evaluated and refined based on pilots in communities, delivering a suite of training materials that can be used in multiple settings to support the communication efforts of local public officials. This project will depart from current training programs in its focus on training local leadership to fully identify and assess the community in which it operates. Community engagement will be an important component to this training as local leaders learn to adopt this process as a part of an effective risk communication strategy.

**Development Partners (s):** Federal Emergency Management Agency (FEMA)

**End User(s):** FEMA HQ, FEMA Regions

*Enhancing Public Response and Community Resilience Project* – This project improved transition partners’ ability to prepare, respond to, and recover from all hazards by developing an evidence-based database populated by data collected by 2-1-1 call centers. Using data generated during hurricanes Katrina and Rita, the project sought to capture and communicate lessons learned to enhance preparedness and response resources based on the specific needs of the locality.

**Development Partner(s):** FEMA

**End-user(s):** FEMA

*Federal Emergency Management Agency (FEMA) Project* – This project improved FEMA’s understanding of how to manage programs through organizing and creating a lifecycle acquisition

project for Disaster Management Support Environment (DMSE) and Situational Awareness Viewer for Emergency Response (SAVER2).

**Development Partner(s):** Local 211 Call Centers, the United Way

**End-user(s):** FEMA HQ, FEMA Regions, First Responders, State Emergency Management Offices

*Incident Logistics and Resource Tracking System Project* – The project allows FEMA to manage critical resources effectively and enhance real-time coordination and situational awareness. The project allows for timely procurement and disbursement of public and private material inventories, locations of resources, and supplies to respond to an emergency through a capability that is scalable and interoperable with Federal, State, and local systems (legacy and future). In addition, this project will provide a comprehensive and transparent disaster logistics enterprise across all disaster response, including public and private partners. Past incidents, such as Hurricane Katrina, highlighted the need for an integrated logistics capability to provide relief supplies to victims in a timely manner. This project plans to integrate information and data sharing tools with FEMA SAVER2 Response Management System.

**Development Partner(s):** FEMA

**End-user(s):** Federal, State, local, and tribal emergency management and first responder organizations, National Guard and Department of Defense (NORTHCOM)

*The National Critical Infrastructure Protection R&D Plan* – This project will optimize the coordination of Federal R&D investments of National Critical Infrastructure Protection by collaborating with Federal agencies and researchers to create the National Critical Infrastructure Protection R&D Plan. The primary customer for this project is the Executive Office of the President. The Office of Management and Budget (OMB), Office of Science and Technology Policy (OSTP), National Science and Technology Council (NSTC), National Infrastructure Protection Plan (NIPP) related agencies, Infrastructure Subcommittee (ISC) member agencies, researchers, and industry providers and implementers, contribute to the development of the National Critical Infrastructure Protection R&D Plan (NCIP R&D Plan) and are users benefiting from the plan development and distribution. This project provides a national R&D agenda for the protection and resilience of national critical infrastructure. S&T will prepare an annual update to the NCIP R&D Plan, as required by HSPD-7.

**Development Partner(s):** Executive Office of the President, OMB, Office of Science and Technology Policy (OSTP), National Science and Technology Council (NSTC), National Infrastructure Protection Plan (NIPP) related agencies, Infrastructure Subcommittee (ISC) member agencies, researchers, and industry providers

**End-user(s):** EOP, OMB, OSTP, NSTC, NIPP-related agencies, ISC member agencies, the research community and industry providers and implementers

*Quantitative Psychosocial Impacts Index (QPSI) Project* – This project will improve DHS risk assessments and prioritizing of its preparedness, response, and recovery activities by developing an index of the direct and indirect public health, social, and political impacts of disasters. The project identifies candidate measures for inclusion in the index; analyzes the reliability, sensitivity, and validity of identified candidate measures; derives a concise summary index; and tests the index's utility in the context of multiple past disasters. This project plans to release a solicitation and make award to performer(s) for recommendations of indicators to be included in the QPSI.

**Development Partner(s):** NPPD

**End User(s):** NPPD Office of Risk Management and Analysis, FEMA, and State and local governments

*Rapid Mitigation and Recovery Project – Basic Research* – This project will allow Critical Infrastructure-Key Resources (CIKR) owners to plan responses and mitigate damages by studying the consequences of destruction to soil/water/concrete junctions in large dams built with both concrete and embankment sections. The project concentrates on longer-term needs and investigates failure mechanisms, damage limitations, and solutions for rapid restoration of service for critical infrastructure.

**Development Partner(s):** United States Army Corps of Engineers (USACE) Engineering Research and Development Center (ERDC) and the Lawrence Livermore National Laboratory (LLNL)

**End-user(s):** IP, Dam Sector, USACE, US Bureau of Reclamation (USBR)

*Recovery Transformer Project* – This project will reduce recovery time from grid-related emergency or blackouts caused by natural disasters or deliberate attacks by creating a modular, more easily transportable electrical extra high voltage (EHV) power transformer. The prototype transformer will reduce the size and weight by 20%; and enable quick delivery, installation, and assembly, with the ability to energize in days, as compared to several weeks or months for traditional transformers. This project plans to monitor the performance of the transformer and begin the transition to industry.

**Development Partner(s):** OIP, DOE, energy sector

**End-user(s):** Energy sector utilities / transmission owners & operators

*Resilient Electric Grid* – This project will protect electric-power critical infrastructure (such as the Manhattan Financial District) from the cascading effects of a power surge on electrical grids due to natural disasters and deliberate attacks. Through the development of the first-of-its-kind, inherently fault current limiting, high temperature superconducting (IFCL-HTS) cable, power substations can be interconnected, enabling the sharing of power and assets and adding resiliency to the existing grid. This project plans to complete site construction and equipment procurement and begin installation of the IFCL-HTS cable and auxiliary equipment.

**Development Partner(s):** Energy sector, American Superconductor Corporation (AMSC), Consolidated Edison, Southwire, Altran Solutions, DH Industries

**End-user(s):** Consolidated Edison, electric sector utilities

*Resilient Tunnel Project* – This project is developing an inflatable tunnel plug to reduce the vulnerability of transportation tunnels to flooding, resulting from a terrorist attack or natural disaster. Past assessments revealed that terrorists using IEDs could exploit certain weaknesses to cause catastrophic tunnel failure. The tunnel plug will mitigate these vulnerabilities in mass transit systems. DHS S&T is collaborating with major transit agencies, including the Port Authority of New York and New Jersey and the Washington Metropolitan Area Transit Authority, to drive technical and operational requirements for the plug and subsystem designs. This project plans to demonstrate a tunnel plug system, to include the plug, container, and inflation mechanism and work with transit agencies to transition the technology.

**Development Partner(s):** Customers and stakeholders include TSA and several major U.S. mass transit agencies. Project team members are the Pacific Northwest National Laboratory (PNNL), West Virginia University, and ILC Dover

**End-user(s):** Mass Transit Agencies

*Social Media Disaster Resilience* – This project will improve collection of dynamic real-time incident information by using social media from on-site bystanders communicating the extent of damage, the evolution of the event, and the needs of the community. Social media communication from the community, coupled with the current capability of the responders, could lead to more accurate, real-time situational awareness that will help DHS in decision-making and resource allocation. This project



plans to create a mobile app for the dominant smart phone platforms (iPhone, Android) for alert delivery and enable tag-based retrieval of text, images, video and audio from social media updates near location of weather alerts. This project also plans to develop a real-time alert update to create enhanced situation representation, including audio to text conversion, natural language understanding of citizen calls, and querying targeted sensors (e.g., surveillance cameras, traffic sensors) for recent updates based on their location and capabilities.

**Development Partner(s):** FEMA, State and local emergency management, response agencies

**End-user(s):** Emergency management, First responders, infrastructure owners and operators

*Standard Unified Modeling Mapping Integrated Toolkit (SUMMIT) Project* – This project will improve the verification and validation of emergency response tactics, plans and procedures prior, during, and after an incident by delivering a framework to FEMA, State and local emergency responders, DOD for integrating existing incident related modeling and simulation tools in real-time scenarios for operations and training exercises. SUMMIT will develop accurate and reliable estimates of hazards from a wide range of natural and terrorist events; analyze and use route mapping to effectively manage transportation assets during mass evacuations or the post-event flow of emergency supplies; and conduct analyses to provide better understanding of possible impacts from natural disasters and terrorist events. The project leverages results of the Training, Exercise and Lessons Learned (TELL) project and will follow three tracks: model development, integration framework, and support for conducting planning exercises. This project plans to complete pilot demonstrations on remaining scenarios, including NLE13. This project also plans to complete final transition to FEMA National Training, Education, and Exercises (NTEE)/National Education Division (NED).

**Development Partner(s):** FEMA, State/local Emergency Responders, DOD

**End-user(s):** State and local emergency responders, first responders, emergency preparedness exercise community (including incident and emergency managers)

*Natural Disaster Detection Program* – Researches, develops, and/or identifies tools to detect and evaluate the magnitude of natural disasters to provide early warning. Defines concepts, requirements, and procedures for improved techniques for early detection and warning of natural disasters threats and the prediction of magnitude of these disasters.

*Seismic Activity Detection Data Collection, Analysis, Alert, and Warning Project* – This project will improve alert notifications and warnings of potential earthquake events to emergency response agencies at local, State, and Federal levels by an integrated warning system based on ground and remote sensing measurements. The project develops the data sources and analytical techniques to support design and development of a model that will result in earlier prediction and detection of seismic activity than is currently available from ground-based seismic monitoring systems. The project also integrates the modeling predictive capabilities with emergency management alert and warning systems, planning capabilities, and training and exercise programs. This project plans to develop an R&D strategy in forecasting, alerting, and warning, initiating the efforts that will have the greatest near-term impact in improving national readiness. This project also plans to evaluate the architecture of developed techniques and models with the customers for incorporation into an optional framework.

**Development Partner(s):** California Emergency Management Agency (Cal-EMA), Los Angeles County, the city of San Francisco, Riverside County, Monterey County, and the City of Monterey, FEMA, United States Geological Survey (USGS), NASA

**End-user(s):** California Emergency Management Agency (Cal-EMA), Los Angeles County, the city of San Francisco, Riverside County, Monterey County, and the City of Monterey, FEMA, USGS, NASA

*Wild Fire Detection and Prediction Project* – This project will improve detection of catastrophic fires for its customers (Cal Fire, U.S. Forest Service, FEMA) by delivering improved analytical products from satellite imaging that guide strategic and tactical decisions. The project develops new analytical capabilities for existing remote sensing satellites and airborne platforms currently used and brings additional satellite platforms and airborne sensor systems into use. The project also determines fuel conditions for potential fires, provides early detection of wildfires in remote locations, and predicts the expected magnitude of wildfires to prevent wild land-urban interface fire disasters. This project plans to prototype improved tools and techniques for early detection of wild fires in remote locations, and develop advanced techniques for assessing the post fire conditions related to debris flow hazards and disasters.

**Development Partner(s):** Cal Fire, US Forest Service, FEMA

**End-user(s):** Cal Fire, US Forest Service, FEMA

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
University Programs  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: University Programs**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>51,803</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>36,563</b>
<b>2013 Current Services</b>	-	-	<b>36,563</b>
2013 Program Change	-	-	3,437
<b>2013 Total Requested Budget Authority</b>	-	-	<b>40,000</b>
Total Change 2012 to 2013	-	-	3,437

The Science and Technology (S&T) Directorate requests \$40.000 million for University Programs, which includes a program change of \$3.437 million to support the Centers of Excellence (COE) program.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

**University Programs (UP) PPA** – FY 2012: \$36.563 million. FY 2013 request: \$40.000 million. The Office of University Programs (OUP) supports critical homeland security-related research and education at U.S. colleges and universities to address high-priority DHS-related issues and to enhance homeland security capabilities over the long term. The program brings together scientists, mathematicians, and engineers from many academic disciplines and institutions. These researchers are investigating research questions important to DHS as well as developing new technologies and approaches to solve complex and challenging homeland security problems. The program focuses on building homeland security expertise in the academic community, creating strategic partnerships among universities and public agencies, and developing a new science and engineering workforce dedicated to homeland security. The primary customers for the Office of University Programs are the DHS S&T Directorate’s divisions, the DHS Component agencies, and Federal, State, and local government agencies.

Investments in university basic research and support for students in relevant fields are critical to preserving the United States' strategic/economic security and supporting the following Quadrennial Homeland Security Report (QHSR) Mission Areas:

- Preventing Terrorism and Enhancing Security
- Securing and Managing Our Borders
- Safeguarding and Securing Cyberspace
- Ensuring Resilience to Disasters
- Strengthening and Maturing DHS

The Office of University Programs carries out activities in three program areas: 1) the DHS S&T Directorate University Centers of Excellence (COEs), 2) the DHS S&T Directorate's Educational Programs, and 3) S&T Directorate's Minority Serving Institutions program.

**Centers of Excellence** – The current COEs engage approximately 200 colleges and universities to conduct multidisciplinary research in priority DHS mission areas. The COEs align to the mission areas of the S&T Directorate's Homeland Security Advanced Research Projects Agency. COEs improve understanding of the causes, elements, and consequences of a range of threats from terrorists and natural disasters. They also support countermeasure, mitigation, prevention, and resilience approaches based on both technologies and human behavior.

The COEs work with the S&T Directorate, the DHS Component agencies, and State, local, and tribal first responders. COE research complements existing DHS research and development programs including those of Federal laboratories and Federally funded research and development centers (FFRDCs). They take advantage of other relevant Federal agency-sponsored research and provide outcomes useful to Federal, State, and local government, private sector, and international partners. The selection process for the COEs is highly competitive, rigorously peer-reviewed, and merit-based. In 2013, the COEs will continue to focus on Engage-to-Excel (E2E) initiatives, which were launched in FY 2011 by OUP in partnership with the COEs. Each COE will have one or two flagship E2E projects. The E2E concept mirrors S&T's strategic portfolio approach with fewer and larger projects that have substantial customer engagement from as early in the research process as possible. The E2E projects will make up about 50% of each COE's research budget and will require agreements among OUP, the COEs, and DHS Components or other end users. These projects will increase the likelihood of successful transition and focus resources efficiently in an increasingly constrained budget environment. They will also increase opportunities for students and faculty to work directly with end users to solve big and complex long-term problems.

The COEs are funded through research cooperative agreements, grants and contracts, depending on the nature of the projects. The COEs are building expertise and reach-back capabilities in multi-disciplinary fields of study important to homeland security.

Research will be focused on:

1. Areas identified as priorities in the Quadrennial Homeland Security Review,
2. Research that is clearly within DHS's purview and closely related to DHS missions
3. Research that is not being done elsewhere
4. Research that can make a difference in operations or intelligence gathering.

The current Centers of Excellence include:

- Center for Advancing Microbial Risk Assessment (CAMRA), led by Michigan State University, established jointly with the U.S. Environmental Protection Agency (EPA) ([www.camra.msu.edu](http://www.camra.msu.edu));
- National Center for Border Security and Immigration (NCBSI), co-led by the University of Arizona at Tucson and the University of Texas at El Paso (<http://www.borders.arizona.edu/> <http://osi.utep.edu/NCBSI/index.html>);
- Center of Excellence for Command, Control, and Interoperability (CCI), co-led by Rutgers and Purdue Universities, (<http://ccicada.rutgers.edu/>, <http://www.purdue.edu/discoverypark/vaccine/>);
- The Center for Awareness and Location of Explosives-Related Threats (ALERT), (formerly Center of Excellence for Explosives Detection, Mitigation, and Response), co-led by Northeastern University and the University of Rhode Island (<http://www.northeastern.edu/alert/>, <http://energetics.chm.uri.edu/?q=node/6>);
- National Center for Food Protection and Defense (NCFPD), led by the University of Minnesota ([www.ncfpd.umn.edu](http://www.ncfpd.umn.edu));
- The Center of Excellence for Maritime, Island and Remote and Extreme Environment Security (MIREES), co-led by the University of Hawaii and Stevens Institute of Technology (<http://www.cimes.hawaii.edu/>, <http://www.stevens.edu/csr/>);
- National Center for Zoonotic and Animal Disease Defense, (formerly National Center for Foreign Animal and Zoonotic Disease Defense (FAZD)), co-located at Texas A&M University and Kansas State University (<http://fazd.tamu.edu/> <http://sites.google.com/site/ceezad/home/>);
- The National Consortium for the Study of Terrorism and Responses to Terrorism (START), led by the University of Maryland ([www.start.umd.edu](http://www.start.umd.edu));
- National Center for Risk and Economic Analysis of Terrorism Events (CREATE) led by the University of Southern California (<http://create.usc.edu/>);
- Coastal Hazards Center of Excellence (formerly the Center of Excellence for Natural Disasters, Coastal Infrastructure, and Emergency Management (NDCIEM)), co-led by the University of North Carolina at Chapel Hill and Jackson State University (<http://hazardscenter.unc.edu/diem/>, <http://www.jsums.edu/cset/or/centers/centndciem.htm>);
- National Center of Excellence for the Study of Preparedness and Catastrophic Event Response (PACER), led by Johns Hopkins University ([www.pacercenter.org](http://www.pacercenter.org)); and
- National Transportation Security Center of Excellence, co-led by the University of Connecticut, Texas Southern University, and Tougaloo College, with Long Island University, University of Arkansas, Rutgers University, and San Jose State University as partners (<http://www.cti.uconn.edu/>, <http://transportation.tsu.edu/NTSCE/home.htm>, <http://www.tougaloo.edu/hsi/index.htm>, <http://www2.southampton.liu.edu/homeland/index.html>).

The following section describes specific activities conducted by the COEs managed by the Office of University Programs.

*The National Center for Border Security and Immigration (NCBSI)* – This Center’s work will improve the capabilities of Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), U.S. Citizenship and Immigration Services (CIS), the U.S. Coast Guard, and State and local agencies to detect people and goods moving across U.S. borders (legally or illegally), using a fully integrated, system-of-systems approach. NCBSI provides fundamental research in support of DHS’S

goals of strengthening border security, immigration enforcement, and immigration services. This center plans to continue conducting research and providing educational programs focused on border security and immigration.

**Development Partner(s):** S&T Directorate technical divisions, CBP Office of Field Operations, CBP Office of Border Patrol, CIS, DHS Policy Office of Immigration Statistics

**End User(s):** CBP Office of Field Operations, CBP Office of Border Patrol, S&T Directorate, USCIS, DHS Policy Office of Immigration Statistics

*Center of Excellence for Command, Control, and Interoperability (CCI)* – This Center’s work will improve the capabilities of the Federal Emergency Management Agency (FEMA), CBP, ICE, U.S. Coast Guard, U.S. Secret Service (USSS), Office of Intelligence and Analysis (OI&A), other DHS Components, the Port Authority of New York and New Jersey, New Jersey Department of Homeland Security, and many State and local law enforcement agencies to detect early signs of threats, mitigate against catastrophic events, and perform post-event analysis for remediation. CCI develops new methods, algorithms, and technologies that enable Federal, State, and local homeland security agencies to efficiently manage, analyze, visualize, and understand vast amounts of diverse and distributed data. This center plans to complete trade-off analyses of security measures with economic and risk factors for the greater Port Authority of New York and New Jersey economic region (with CREATE, see below). This center also plans to implement multiple visual analytics tools into local and State homeland security operations in the Midwest, northwest, and northeast. Additionally, this center plans to develop and test a comprehensive capability for determining the cascading effects of a complex incident, such as a natural disaster or terrorist attack, on interconnected critical infrastructures, as well as predicting their extent and progression.

**Development Partner(s):** S&T Directorate technical divisions, National Visualization and Analytics Center (NVAC), Pacific Northwest National Laboratory, German Ministry of Research and Education, CREATE, FAZD

**End User(s):** U.S. Coast Guard, TSA, CBP, Port Authorities of New and New Jersey, Los Angeles, and Seattle-Tacoma, Indiana State Public Safety Authority, New York Police Department, OI&A, City and County of Indianapolis, IN.

*The Center for Awareness and Localization of Explosives-Related Threats (ALERT) (formerly Center of Excellence for Explosives Detection, Mitigation, and Response)* – This Center supports the National Protection and Programs Directorate (NPPD) Office of Infrastructure Protection (OIP) and Office for Bombing Prevention (OBP), DHS Policy Directorate, TSA, ICE, State homeland security agencies, and State and local police bomb squads by providing research and training to prepare for, prevent, mitigate, respond to, and recover from terrorist attacks involving explosives. ALERT provides basic explosives-related research to advance the technical tools and information that the S&T Directorate’s customers will need in the future. This center plans to expand research in the areas of advanced software concepts for image reconstruction, video analytics, and sensor fusion in next generation screening systems, and increase its focus on transitioning results to Federal, State, and local agencies, and private sector vendors.

**Development Partner(s):** S&T Explosives Division, TSA

**End User(s):** TSA, NPPD-OBP, State homeland security agencies

*The National Center for Food Protection & Disease (NCFPD)* – This Center’s work will improve the ability of the S&T Directorate, NPPD-OIP, Office of Health Affairs Food, Agriculture, Veterinary

Defense (OHA-FAVD), U.S. Department of Agriculture (USDA), Food and Drug Administration (FDA), Centers for Disease Control (CDC), Environmental Protection Agency (EPA), State and local agencies, and the food and agriculture private sector to respond to catastrophic food system events by minimizing or eliminating food/agriculture system vulnerabilities. NCFPD conducts research and education aimed at reducing the potential for contamination at any point along the food supply chain and mitigating the potentially catastrophic public health and economic effects of such attacks. This center plans to develop models that rapidly identify sources of contamination, food distribution points, and possible outbreak locations; and demonstrate interventions and responses using novel communication systems from food distribution, food consumption, and epidemiologic studies. This center also plans to identify actions and determine how to implement programs that mitigate risks in the freight transportation components of international food supply chains, with the intent of enabling significant improvement in food supply chain security, preparedness, and resiliency.

**Development Partner(s):** S&T Infrastructure and Disaster Management Division, OHA, and OIP, USDA-FSIS, USDA-CSREES, USDA-APHIS, FDA-ORA, FDA-CFSAN, DOE National Laboratories, U.N. Food and Agricultural Organization (FAO), private industry

**End User(s):** S&T Infrastructure and Disaster Management Division, OHA, and OIP, USDA-FSIS, USDA-CSREES, FDA-ORA, FDA-CFSAN, USDA-APHIS, U.S. Department of Transportation, the National Science Foundation, FAO, private industry

*National Center for Zoonotic & Animal Disease Defense (ZADD) (formerly The National Center for Foreign Animal and Zoonotic Disease Defense (FAZD))* – This Center will improve the ability of the S&T Chemical and Biological Countermeasures Division (S&T-CBD), OHA, NPPD, Plum Island Animal Disease Center (PIADC), National Biodefense Analysis and Countermeasures Center (NBACC), U.S. Department of Agriculture (USDA), Centers for Disease Control (CDC), State and local government and agricultural industry to protect the nation’s agriculture and public health sectors against high-consequence foreign, emerging, and/or zoonotic animal disease threats in the United States. ZADD is developing a scientific basis for detecting and preventing emerging and zoonotic diseases, which assists in the Department’s responsibility to develop countermeasures and effective control strategies. This center plans to develop and deliver reagents and screening assays for priority foreign animal and zoonotic diseases to DHS and USDA in support of agricultural screening tools.

**Development Partner(s):** S&T Directorate technical divisions, NPPD OIP, OHA, FEMA, NBACC, USDA (APHIS/ARS), CDC, State emergency response agencies, food and agriculture private sector

**End User(s):** S&T Directorate technical divisions, NPPD Office of Infrastructure Protection, OHA, FEMA, NBACC, USDA (APHIS/ARS), CDC, State emergency response agencies, food and agriculture private sector

*Center of Excellence for Maritime, Island & Remote, and Extreme Environmental Security (MIREES)* – This Center will enhance NPPD, OHA, OIP, FEMA, U.S. Coast Guard, and State homeland security agencies’ ability to respond to catastrophic events, particularly for U.S. ports, coasts, islands and extreme environments, by developing a more secure and efficient marine transportation system (MTS). MIREES conducts integrated policy, legal, scientific, and engineering studies to detect and monitor ships, people and goods moving through the United States’ maritime domain. This center plans to continue research and provide educational activities related to maritime domain awareness.

**Development Partner(s):** S&T Directorate technical divisions, U.S. Coast Guard, United States Air Force, OHA, NOAA

**End User(s):** NPPD, OHA, S&T Directorate, U.S. Coast Guard, United States Air Force; OHA, NOAA, State homeland security agencies

*The National Consortium for the Study of Terrorism and Responses to Terrorism (START)* – This Center will provide DHS Components, other Federal, State, and local agencies, private security agencies, and academia with data-driven research and capability strategies to disrupt terrorist networks, reduce the incidence of terrorism, and enhance the preparedness of American society. The Center uses advanced behavioral and social science theories, methods, and data to better understand the origins, dynamics, and impacts of terrorism and counterterrorism strategies.

In FY 2011, the project was re-competed. The University of Maryland won the competition and will continue the Center as START in FY 2012. This center plans to transform the relationship between academic researchers and the public sector to provide decision makers, policy experts, and emergency responders with precise, timely, and targeted information on terrorist behavior and its impact.

**Development Partner(s):** S&T Directorate technical divisions, Domestic Nuclear Detection Office (DNDO), NPPD, OHA, OI&A, DHS Office of Policy, FEMA, and the DHS Office of Civil Rights and Civil Liberties; Department of Defense (DOD); Federal Bureau of Investigation (FBI); DHHS Office of Assistant Secretary for Preparedness and Response; National Counterterrorism Center; Department of State Office of Counterterrorism; State and local law enforcement agencies; intelligence community organizations

**End User(s):** DNDO, NPPD, OHA, OI&A, DHS Office of Policy, FEMA, and the DHS Office of Civil Rights and Civil Liberties, DOD, FBI, DHHS Office of Assistant Secretary for Preparedness and Response, National Counterterrorism Center, Department of State Office of Counterterrorism; State and local law enforcement agencies, intelligence community organizations

*Coastal Hazards Center of Excellence (CHC) (formerly Center of Excellence for Natural Disasters, Coastal Infrastructure, and Emergency Management (NDCIEM))* – This Center will provide FEMA, U.S. Coast Guard, NOAA, U.S. Army Corps of Engineers (USACE), State, and local emergency managers, and infrastructure managers with improved coastal hazards planning, response, and recovery capabilities such as providing more accurate storm surge estimates within minutes instead of hours. CHC conducts basic and transformational research in coastal hazards modeling, coastal engineering, disaster response, and resiliency planning; and develops expertise in related disciplines through education. This center plans to create a comprehensive modeling suite that improves prediction of storm surge runoff and flooding.

**Development Partner(s):** S&T Infrastructure and Disaster Management Division, FEMA, U.S. Coast Guard, USACE, Engineer Research and Development Center, Joint Airborne Lidar Bathymetry Technical Center of Expertise, Northrup Grumman Center for High Performance Computing, National Weather Service Severe Storms Laboratory, State and local emergency managers, infrastructure managers

**End User(s):** FEMA, U.S. Coast Guard, National Oceanic and Atmospheric Administration (NOAA), USACE, State, local emergency managers, infrastructure managers

*National Center for Risk & Economic Analysis of Terrorism Events (CREATE)* – This Center will improve the ability of DHS components and other Federal, State, and local agencies, private sector security/operators, and academia to predict and counter terrorist attacks. CREATE uses advanced models and tools to evaluate the risks, costs and consequences of terrorism, and identify economically efficient investments in countermeasures to improve security and resilience. This center plans to



complete the integration of risk and economic analysis models including intelligence analysis, red teaming, experimental games, and advanced decision theory components.

**Development Partner(s):** S&T Directorate technical divisions, TSA, U.S. Coast Guard, Port Authority of Los Angeles and Long Beach, Port Authorities of NY and NJ, Los Angeles County Metropolitan Authority, FBI, World Bank

**End User(s):** TSA, U.S. Coast Guard, Port Authorities of Los Angeles and Long Beach, Port Authorities of NY and NJ, Los Angeles County Metropolitan Authority

*National Center for the Study of Preparedness and Catastrophic Event Response (PACER)* – This Center will improve OHA, FEMA, NPPD-OIP and hospitals, health departments, and emergency responders' ability to predict local surges in casualties based on DHS planning scenarios and translating the surge capacity into a functional tool. The tool will allow users to estimate surge capacity for a given hazard in a given medical facility. This project addresses the requirement for a COE in emergency diagnostic and medical services to mitigate hazards, enhance preparedness, ensure effective emergency response, decrease loss of life, and facilitate rapid recovery by emergency personnel. PACER will complete all of its projects in FY 2012. PACER is a fully funded COE.

**Development Partner(s):** S&T Directorate, OHA, FEMA, DHS Office of Civil Rights and Civil Liberties, DHHS, public/private healthcare institutions, Applied Physics Laboratory, CDC, American Indian Higher Education Consortium, American Medical Association, National Congress of American Law Enforcement Association

**End User(s):** S&T Directorate, OHA, DHS Policy Office, DHS Office of Civil Rights and Civil Liberties, State homeland security agencies, DHHS, public/private healthcare institutions, FEMA, CDC

*National Transportation Security Center of Excellence (NTSCOE)* – This Center will improve the ability to secure the Nation's surface transportation infrastructure by developing and transitioning new technologies, tools, and methodologies to TSA to defend and increase resiliency. NTSCOE addresses the technology and research needs associated with securing the Nation's surface transportation infrastructure and protecting the people who use it.

**Development Partner(s):** TSA, Transportation Sector Network Management (TSA-TSNM), Mass Transit & Passenger Rail (MT&PR), TSA-TSNM Freight Rail (FR), U.S. Coast Guard, FEMA, USACE, New York Metropolitan Transportation Authority (NYMTA), Maryland Transit Administration, Metropolitan Atlanta Rapid Transit Authority

**End User(s):** State and local transit agencies (e.g. MARTA, WMATA), AMTRAK, freight rail companies, State departments of transportation, State highway organizations, State emergency organizations, U.S. Coast Guard, United States Army Corp of Engineers (USACE)

## **Education**

*Scholarship, Fellowships, Internships and Institutional Development* – This project will improve and sustain the homeland security science and technology workforce by investing in high-performing science and engineering students or professionals in the United States to assure and develop a critical mass of dedicated Homeland Security science, technology, engineering and mathematics (STEM) professionals. The DHS Scholars program competitively awards scholarships to individual science, mathematics, and engineering undergraduate and graduate students. In FY 2012, funding for the DHS Scholars Program will be in hiatus, pending a programmatic review. The S&T Directorate's Career

Development Grants (CDG) program provides competitive awards to support undergraduate and graduate students attending institutions, including the COEs, which have made a commitment to develop HS-STEM curricula and fields of study. DHS requires scholarship students to serve one 10-week summer internship and one year in an approved HS-STEM venue. Student and scholar researchers perform work at more than 28 DHS-affiliated venues including the S&T Directorate, National Laboratories, and DHS Components. With the DHS-STEM Summer Internship Program, DHS also competitively awards individual summer internships to eligible students attending accredited universities throughout the United States. Supported student participants have the opportunity to attend the annual S&T Career Pathways Student Meeting and receive information on DHS operations and careers. This project plans to continue with modifications to focus fellowship funds on high priority DHS science and engineering needs.

**Development Partner(s):** DHS Office of Academic Engagement, DHS Office of Chief Human Capital Officer (OCHO), Federal Post-Secondary STEM Community, 42 CDG institutional award recipients

**End User(s):** DHS, Homeland Security Enterprise Workforce

*Minority Serving Institutions (MSIs)* – Programs in this area will improve the capabilities of MSIs to conduct research, education, and training in areas critical to homeland security by developing a new generation of scientists capable of advancing homeland security goals, and by increasing the diversity and representation of the future homeland security science and engineering workforce. The (Scientific Leadership Awards (SLA) program provides three to five years of institutional support for students and early career faculty. The Summer Research Team (SRT) program provides support for a 10-week collaborative research experience between recipient MSIs and one of the COEs.

**Development Partner(s):** DHS Office of Academic Engagement, DHS OCHO, Federal Post-Secondary STEM Community, 50 Scientific Leadership Awards (SLA) institutional award recipients, DHS COEs

**End User(s):** DHS, Homeland Security Enterprise Workforce

## IV. Program Justification Changes

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Increase 1:** Research, Development and Innovation  
PPA: Research Development and Innovation  
Program Increase: Positions 0, FTE 0, Dollars \$212,265

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	265,783
Program Increase							-	-	212,265
<b>Total Request</b>	-	-	<b>500,389</b>	-	-	<b>265,783</b>	-	-	<b>478,048</b>

### Description of Item

The FY 2013 funding increase for Research, Development and Innovation is commensurate with the FY 2011 funding level and will allow S&T to resume R&D work in areas such as: Maritime Border Security, Land Border Security, Chemical Attack Resiliency, Natural Disaster Resiliency, Information Sharing, and Counter Terrorist R&D. Programs increased were carefully chosen to ensure S&T robustly funds high priority initiatives.

### Justification

Research, Development and Innovation (RD&I) provides state-of-the-art technology and/or solutions to meet the needs of the operational components of the Department and the first responder community. The research and development work consists of customer-focused and impact-oriented Research, Development, Testing and Evaluation programs that balance risk, cost, impact, and time to delivery. The six thrust areas of RD&I include: APEX Research and Development; Border Security; Chemical, Biological, and Explosive Defense; Counter Terrorist; Cyber Security; and Disaster Resilience.

**APEX Research & Development Thrust** – Consists of crosscutting, multi-disciplinary efforts requested by DHS Components. Apex projects are high priority, high-value, and short turn-around in nature. The Apex Thrust increases by \$1.0 million in FY 2013.

**Border Security Research & Development Thrust** - The Science & Technology (S&T) Directorate invests in the research and development of border security technology to: prevent the illicit movement

and illegal entry or exit of people, weapons, dangerous goods, and contraband; manage the risk posed by people and goods in transit; and disrupt and dismantle transnational criminal organizations. The Border Security Thrust area increases by \$15.9 million in FY 2013. This is a result of increases in the following projects:

- *Air Based Technologies Project* – This project will provide dominant airborne sensor capabilities for the Customs and Border Protection (CBP) Office of Air and Marine (OAM), the US Coast Guard (USCG) Office of Aviation Forces (CG-711), and the external First Responder Community by providing and enhancing end-to-end sensor solutions for airborne detection, identification, and classification of illicit activity, including low-observable air and water craft.
- *Port and Coastal Surveillance Improvement Project* – This project will bridge gaps in USCG's maritime situational awareness, security effectiveness, and safety by providing a persistent and pervasive maritime surveillance capability that identifies small vessels at a sufficient range (for law enforcement response) in the port/harbor/coastal environment.
- *Small Dark Aircraft Project* – This project will enhance CBP capabilities to consistently detect and track small aircraft (helicopters, ultra-light and fixed wing) at or before crossing the border to enable successful interdiction of illicit cargo.
- *Small Dark Vessels Project* – This project will develop capabilities to detect, identify, track, and interdict small dark vessels (primarily submersibles) by identifying, integrating, and tailoring sensors across the electromagnetic and acoustic spectrum.
- *Tunnel Activity Monitoring Project* – This will improve CBP's ability to detect smuggling and illegal entries that use public infrastructure storm drains and sewers as conduits for smuggling and illegal entries.
- *Tunnel Detection Project* – This project will develop technology to enable CBP and ICE to reliably identify tunnels to prevent contraband and illegal immigrant smuggling using clandestine tunnels by using modeling and simulation techniques to predict the effectiveness of the most promising tunnel detection technologies.

**Chemical, Biological, and Explosive Defense Research & Development Thrust** - S&T invests in research & development to support Threat Awareness, Prevention, and Protective strategies, coordinated surveillance and detection, response and recovery initiatives, and protective countermeasures to address chemical, biological, and explosive (CBE) threats. Efforts include: prevention of terrorism; prevention of the unauthorized use of CBE materials within the U.S.; reduction of vulnerability of critical infrastructure from terrorist attacks and other hazards; prevention of the illicit movement and illegal entry or exit of people, weapons, dangerous goods, and contraband; and, coordination with local and regional partners to identify hazards, assess vulnerabilities. Funds requested for the Chemical, Biological and Explosive Defense Research & Development Thrust area increase by \$71.1 million in FY 2013. This is a result of increases in the following projects:

- *Agricultural Screening Tools Project* – This project will improve the ability of U.S. Government agencies such as USDA and FDA to screen for and detect high priority foreign animal diseases that threaten the U.S. agricultural critical infrastructure by developing and standardizing protocols and tools.
- *Air Cargo Project* – This project will improve the ability of air carriers and certified cargo screening facilities to screen medium- and high-density pallets and sealed containers.

- *Algorithm and Analysis of Raw Images Project* – This project will improve the performance of X-ray-based Computed Tomography (CT) and Advanced Imaging Technology (AIT) detection technologies in both checked baggage and check point applications.
- *Bioassays Project* – This project will improve the Nation’s ability to screen and monitor for multiple pathogens in the event of a bio-attack.
- *Biodefense Knowledge Center (BKC)* – This project provides expertise and information about biological sciences and bio-threats to DHS components and multiple Federal agencies.
- *Biological Threat Characterization Project (BTC)* – This project improves the estimation of the impacts of a bioterrorism attack on the U.S. through experimental research and analysis to understand the critical physical, chemical, and physiological parameters associated with potential bioterrorism agents.
- *Checked Baggage Project* – This project substantially improves the performance of TSA checked baggage screening by developing technologies that will drive commercial development of next-generation explosives detection systems (EDS) and explosives trace detectors (ETDs).
- *Eye Safe Trace Detection Project* – This project will provide building security and checkpoint security with a stand-off ability to detect trace explosives on people and personal items.
- *Homemade Explosives Characterization Project* – This project improves the Department’s ability to detect and identify homemade explosives (HMEs) threats across a range of venues.
- *Integrated Passenger Screening Systems* – This project will allow passengers to keep their shoes on throughout the security screening process at aviation checkpoints by developing and testing integrated shoe screening devices (SSD) and AIT systems.
- *MagViz (SENSIT NMRI) Rapid Liquid Component Detector Project* – The goal of this project is to enable the TSA to detect liquids in baggage without contact at the same rate as current X-ray machines with minimal impact on passenger throughput.
- *Mass Transit Project* – This project will improve operators’ ability to detect explosive threats for maritime and surface mass transit, including buses, commuter rail (i.e. subways or metros), light rail (i.e. trolleys and streetcars), long-distance rail (i.e. Amtrak), and heavy rail.
- *Next-Gen Biological Detection Project* – This project conducts research and develops a suite of technologies to accurately detect the presence of traditional bio-threat agents, provide characterization of pathogens for their virulence, provide a rough quantification of the amount of that agent, and preserve the viability of samples for further analysis.
- *Next Generation Passenger Check Point Project* – This project improves TSA’s screening process of passengers and carry-on luggage for explosives and other threats at aviation checkpoints by developing the next-generation airport security checkpoint system for risk-based screening of passengers and carried baggage.
- *Person Born Threat Imaging Sensor Development Project* – This project improves the Federal Protective Service’s and TSA’s standoff detection of explosives devices worn or carried by a person as they approach a venue entrance.
- *Portable Detection Project* – This project improves the Department’s and first responders’ explosives detection performance in a handheld form.
- *Rapid Biodetection Project*– This project will establish and/or improve capabilities to rapidly and accurately screen and identify exposed or contagious persons, to include those clinically symptomatic or prior to exhibiting symptoms of disease.

- *Risk Prediction Project* – This project will improve CBP’s and TSA’s ability to identify potential improvised explosive device (IED) targets and staging areas that precede IED smugglings at the U.S. border.
- *Safe Bulk Detection Project* – This project addresses the need in surface transportation to effectively and safely detect bulk explosives or bulk explosive chemicals concealed or carried in a bag without the operational limitations of an aviation-style checkpoint.

**Counter Terrorism Research & Development Thrust** - S&T invests in the research and development of efforts to counter terrorism. Efforts include prevention of terrorist attacks and, prevention of the illicit movement and illegal entry or exit of people, weapons, dangerous goods, and contraband. Funds requested for the Counter Terrorist Research and Development Thrust increase by \$23.3 million in FY 2013. This is a result of increases in the following projects:

- *Cooperative Biometrics Project* – This project will improve Transition Partners’ customer throughput by collecting two or more biometrics in less than ten seconds at a 95 percent acquisition rate.
- *Mobile Biometrics System Project* – The project will improve U.S. border security and officer safety by providing Federal, State and local Transition Partners the capability to screen individuals at remote locations around the U.S. borders.
- *Non-Cooperative Biometrics Project* – This project will improve Transition Partners’ ability to identify and prevent potential threats from entering the U.S. and facilitate the movement of legitimate travelers.
- *Passive Methods for Precision Behavioral Screening Project* – The project will improve Transition Partners’ screening and throughput, reduce economic screening impacts and improve classification accuracy by transforming the screening process from active to more dynamic and passive detection.
- *Rapid DNA Project* – This project will improve the security and integrity of the immigration system by providing USCIS with a rapid and low-cost method to verify family relationships.
- *Wide Area Surveillance* – This project will enhance the continuous surveillance of the Nation’s highest priority infrastructure by developing a novel wide area surveillance system that provides high resolution 360 degree coverage with real-time and forensic capabilities.

**Cyber Security Thrust/Program** – Conducts and supports research, development, testing, evaluation, and transition for advanced cyber security and information assurance technologies to secure the Nation’s current and future cyber and critical infrastructures in response to the President’s *National Strategy to Secure Cyberspace* and *Comprehensive National Cybersecurity Initiative (CNCI)*. These solutions include user identity and data privacy technologies, end system security, research infrastructure, law enforcement forensic capabilities, secure protocols, software assurance, and cyber security education. The Cyber Security Thrust area increases by \$18.7 million in FY 2013. This is a result of increases in the following projects:

- *Data Privacy Technologies Project* – This project will increase valuable information sharing across the government and private sector by developing technologies to protect and minimize confidential personal information.
- *Enterprise Level Security Metrics and Usability Project* – This project will improve the decision-making process for system and network owners and operators in both the Homeland Security

Enterprise and the private sector by developing security metrics and supporting tools and techniques that will be useful as decision aids.

- *Experimental Research Testbed Project* – This project improves attack mitigation and confinement strategies and the quality of new cyber security technologies by providing a secure environment to run large-scale, repeatable tests and experiments, which evaluate the defense mechanisms against attacks on the infrastructure.
- *Homeland Open Security Technology Project* – This project will improve Federal, State, and local government’s access to and use of open source security solutions by increasing the awareness of available open source solutions and ensuring that both currently available and developed open source solutions meet the specific needs of government customers.
- *Leap Ahead Technologies Project* – This project will improve cyber security capabilities across the Homeland Security Enterprise by orders-of-magnitude by focusing on cross-cutting, high-risk/high-payoff solutions to critical cybersecurity problems.
- *Security in Cloud-Based Systems (sCBS)* – This project will increase government efficiency and security using cloud-based systems by establishing a secure cloud infrastructure.
- *Software Assurance Marketplace (SWAMP) Project* – This project will improve the fidelity of identification of vulnerabilities in software and increase the output of more secure software by providing the infrastructure to test and evaluate software against a multitude of software analysis tools.
- *Transition to Practice (TTP) Project* – This project will improve the transition path and likelihood of implementation of federally-funded cybersecurity research into operational use by carrying out proven strategies for successful transition and commercialization.

**Disaster Resilience Research & Development Thrust** - The programs and projects in the area reduce vulnerability of critical infrastructure, key leadership, and events to terrorist attacks and other hazards. Work in the area will help State, local, tribal and territorial governments secure their information systems and to identify hazards, assess vulnerabilities, and develop strategies to manage risks associated with all hazards. The work will also increase the state of preparedness of State, local, regional, tribal, and territorial partners, as well as nongovernmental organizations, the private sector, and the general public by advancing and improving disaster emergency’ interoperable communications capabilities and, improving the capabilities of DHS to lead in emergency management. The Disaster Resilience Thrust area increases by \$82.2 million in FY 2013. This is a result of increases in the following projects:

- *Advanced Incident Management Enterprise System (AIMES) Project* – This project will improve emergency responders’ ability to share information between disparate software application systems by integrating all elements of the incident management enterprise to provide a secure, scalable, interoperable, and unified situational awareness to the emergency management and first responder community.
- *Bioforensics Research and Development (R&D) Project* – This project provides investigators with techniques to identify source material collected from a bio-crime in order to pursue legal prosecution against the party responsible.
- *Chem-Bio Event Characterization Project* – This project will improve the capability of the response community to rapidly determine the extent of chemical or biological contamination in an urban area following an event.

- *Converged Interoperable Communications Project* – This project improves the ability for first responders to effectively and efficiently coordinate and communicate preparations for response and recovery efforts through the development of an integrated communication system.
- *Decontamination, Disposal and Depopulation Project (3D)* – This project will improve Federal, State and local animal health officials’ emergency response concept of operations to control the spread of foreign animal diseases (FAD) and mitigate the impact on the livestock industry.
- *Emergency Data Exchange Language (EDXL) Project* – This project provides a suite of standardized emergency-messaging formats for first responders to collaborate and share life-saving resources.
- *FAD Vaccine and Diagnostics Project* – This project will strengthen the defense of the U.S. agricultural infrastructure by developing new and next generation countermeasures (vaccines and diagnostics) to protect the livestock industry against Foot and Mouth Disease and other high consequence Foreign Animal Diseases (FADs).
- *First Responder Technologies* – This project increases the availability and reliability of technology solutions for first responders by developing and designing technologies to address capability gaps identified by Federal, State, local, and tribal first responders.
- *Geospatial Location Accountability and Navigation System for Emergency Responders (GLANSER) Project* – This project will improve accuracy and signal penetration inside enclosed areas (i.e., collapsed buildings, subterranean facilities, or underground), enhance situational awareness of situation commanders.
- *Incident Logistics and Resource Tracking System Project* – The project allows FEMA to manage critical resources effectively and enhance real-time coordination and situational awareness.
- *Internet Protocol (IP) Communications Test and Evaluation Project* – This project provides our Nation’s first responders with the capability to deploy the most appropriate and affordable communications equipment to meet their mission-critical needs.
- *NBAF Agro-Defense Research and Assessment Project* – This project will help protect the agriculture infrastructure and public health by augmenting and complementing current and ongoing research at Plum Island Animal Disease Center by accelerating research programs focused on African Swine Fever and Classical Swine Fever.
- *Overhead Imagery Data Project* – This project will increase decision-makers’ situational awareness regarding the extent of disasters through development of a phenomena-based selection of sensor systems and optimization of tasking satellite and airborne assets to deliver critical information to incident commanders for every phase of the disaster.
- *Resilient Electric Grid* – This project will protect electric-power critical infrastructure from the cascading effects of a power surge on electrical grids due to natural disasters and deliberate attacks.
- *Seismic Activity Detection Data Collection, Analysis, Alert, and Warning Project* – This project will improve alert notifications and warnings of potential earthquake events to emergency response agencies at local, State, and Federal levels by an integrated warning system based on ground and remote sensing measurements.
- *Social Media Disaster Resilience* – This project will improve collection of dynamic real-time incident information by using social media from on-site bystanders communicating the extent of damage, the evolution of the event, and the needs of the community.
- *Standard Unified Modeling Mapping Integrated Toolkit (SUMMIT) Project* – This project will improve the verification and validation of emergency response tactics, plans and procedures prior, during, and after an incident by delivering a framework to FEMA, State and local emergency



responders, and DoD for integrating existing incident related modeling and simulation tools in real-time scenarios for operations and training exercises.

- *TechSolutions Project* – This project increases the speed of prototyping and transitioning emergent high priority technologies to the first responder community by capturing, reviewing, verifying, and developing technology needs identified by first responders.
- *Underground Transport Restoration Project* – This project will improve the capability for transit systems to rapidly recover from a chemical or biological event, addressing a high priority need expressed by TSA and transit systems.
- *Virtual USA (vUSA)* – This project helps to save lives and protect property by sharing information and providing relevant, reliable, real-time information during day-to-day and catastrophic incidents at all levels of government.
- *Wireless Broadband Technology Project* – This project is a joint initiative between CBP and S&T to investigate and assess technologies to meet CBP’s complete tactical communications need for mission-critical voice, data, and video on a single, highly reliable, converged network.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

The increase in FY 2013 funding will improve homeland security through state-of-the-art solutions and technology by discovering, developing, and demonstrating high-payoff and game changing technologies.

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Justification of Program Changes  
(Dollars in Thousands)**

**Program Increase 2:** University Programs  
 PPA: University Programs  
 Program Increase: Positions 0, FTE 0, Dollars \$3,437

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	36,563
Program Increase							-	-	3,437
<b>Total Request</b>	-	-	<b>51,803</b>	-	-	<b>36,563</b>	-	-	<b>40,000</b>

**Description of Item**

The FY 2013 amount increases overall funding to the Centers of Excellence program area within University Programs by \$3.437 million.

**Justification**

University Programs build scientific leadership and core competencies in multi-disciplinary areas by investing in three areas: a coordinated, university-based system of Centers of Excellence (COEs); Educational Programs; and Minority Serving Institutions. Integration of these three program areas ensures that DHS gets the maximum return on its investment in university research and education. The FY 2013 increase ensures the COEs receive needed core funding to advance research in important homeland security areas.

University Programs supports basic research and the education of promising students in Homeland Security-related Science, Technology, Engineering, and Mathematics (HS-STEM) fields to maximize the Department's return on investment in university-based research and education to achieve the goals set by Congress as efficiently as possible. Because the program supports research, education, and technology development in HS-STEM fields, it is building the Nation's intellectual capital in these areas. University Programs is one of the only Federal entities assuming this role with respect to domestic security-related studies. In 2007, Congress enacted legislation (America COMPETES Act) to increase investment in long-term basic research and increase support for students in relevant fields as critical to preserving the U.S.'s strategic and economic security.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

The increases in FY 2013 funding will further University Programs' ability to focus on building homeland security expertise in the academic community by creating strategic partnerships among universities and public agencies, and continue the development of a scientific workforce of homeland security experts in support of DHS's missions.

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Acquisition and Operations Support  
PPA: Acquisition and Operations Support  
Program Decrease: Positions 0, FTE 0, Dollars \$(6,170)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	54,154
Program Decrease							-	-	(6,170)
<b>Total Request</b>	-	-	<b>55,622</b>	-	-	<b>54,154</b>	-	-	<b>47,984</b>

**Description of Item**

The FY 2013 funding request is a \$6.170 million decrease for Acquisition and Operations Support (AOS) Standards. The decrease will impact the following areas: Cargo Security, Credentialing, Geospatial Information Systems (GIS), and Sensor Network and Alert Systems. These areas were selected for curtailment to focus on higher priority initiatives, and were carefully chosen to ensure that AOS will still provide DHS programs its expert assistance on the transition, acquisition, and deployment of technologies.

**Justification**

Acquisition and Operations Support provides expert assistance to entities across the Homeland Security Enterprise (HSE) to ensure that the transition, acquisition, and deployment of technologies, information, and procedures improve the efficiency and effectiveness of the operational capabilities across the HSE mission. This includes providing technological assessment of major acquisition programs in the Department of Homeland Security (DHS) to help ensure that technologies, concepts of operations (CONOPS), and procedures meet operational requirements; oversight of the test and evaluation of DHS major acquisition programs; standards to support the Homeland Security mission and the SAFETY Act program.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

In order to focus on higher priority items, the decrease in FY 2013 funding will impact Acquisition and Operations Support's ability to establish additional direct relationships between researchers and customers across the homeland security enterprise and expand future funding mechanisms for its programs.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For necessary expenses for science and technology research, including advanced research projects; development; test and evaluation; acquisition; and operations; \$693,464,000; of which \$566,032,000 to remain available until September 30, 2015; and of which \$127,432,000 to remain available until September 30, 2017, is solely for the operation and construction of Laboratory Facilities

#### Explanation of Changes:

No substantive changes included

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>130</b>	<b>130</b>	<b>764,567</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>130</b>	<b>130</b>	<b>533,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Total, Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
FY 2013 Pay Increase	-	-	71
Plum Island Animal Disease Center (PIADC) Operations and Maintenance	-	-	861
<b>Total, Increases</b>	-	-	<b>932</b>
<b>Decreases</b>	-	-	-
National Bio and Agro Defense Facility (NBAF) Non recur	-	-	(50,000)
<b>Total, Decreases</b>	-	-	<b>(50,000)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(49,068)</b>
<b>FY 2013 Current Services</b>	<b>130</b>	<b>130</b>	<b>483,932</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Research, Development and Innovation	-	-	212,265
University Programs	-	-	3,437
<b>Total, Increases</b>	-	-	<b>215,702</b>
<b>Decreases</b>	-	-	-
Acquisition and Operations Support	-	-	(6,170)
<b>Total, Decreases</b>	-	-	<b>(6,170)</b>
<b>Total, Program Changes</b>	-	-	<b>209,532</b>
<b>FY 2013 Requested Budget Authority</b>	<b>130</b>	<b>130</b>	<b>693,464</b>
<b>Offsetting Collections</b>	-	-	-
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>160,464</b>

## C. Summary of Requirements

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	130	130	764,567
<b>FY 2012 Enacted Budget Authority</b>	130	130	533,000
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	932
Decreases	-	-	(50,000)
<b>Total, Adjustments-to-Base</b>	-	-	(49,068)
<b>FY 2013 Current Services</b>	130	130	483,932
<b>Program Changes</b>	-	-	-
Increases	-	-	215,702
Decreases	-	-	(6,170)
<b>Total, Program Changes</b>	-	-	209,532
<b>FY 2013 Requested Budget Authority</b>	130	130	693,464
<b>FY 2012 to FY 2013 Total Change</b>	-	-	160,464

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Acquisition and Operations Support	-	-	54,154	-	-	-	-	-	(6,170)	-	-	47,984	-	-	(6,170)
Research Development and Innovation	-	-	265,783	-	-	-	-	-	212,265	-	-	478,048	-	-	212,265
University Programs	-	-	36,563	-	-	-	-	-	3,437	-	-	40,000	-	-	3,437
Laboratory Facilities	130	130	176,500	-	-	(49,068)	-	-	-	130	130	127,432	-	-	(49,068)
<b>Total</b>	<b>130</b>	<b>130</b>	<b>533,000</b>	<b>-</b>	<b>-</b>	<b>(49,068)</b>	<b>-</b>	<b>-</b>	<b>209,532</b>	<b>130</b>	<b>130</b>	<b>693,464</b>	<b>-</b>	<b>-</b>	<b>160,464</b>

## D. Summary of Reimbursable Resources

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Summary of Reimbursable Resources  
(Dollars in Thousands)**

Collections by Source:	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Australia	-	-	300	-	-	5,000	-	-	5,000	-	-	-
Canada	-	-	-	-	-	5,000	-	-	5,000	-	-	-
Citizen and Immigration Services	-	-	7,026	-	-	12,485	-	-	14,858	-	-	2,373
Customs and Border Protection	-	-	17,593	-	-	19,580	-	-	14,971	-	-	(4,609)
Department of Commerce, DAIP	-	-	23,921	-	-	25,000	-	-	25,000	-	-	-
Department of Defense	-	-	50	-	-	350	-	-	350	-	-	-
Department of Justice	-	-	50	-	-	350	-	-	350	-	-	-
Department of State	-	-	145	-	-	-	-	-	-	-	-	-
Department of Transportation	-	-	145	-	-	500	-	-	-	-	-	(500)
Domestic Nuclear Detection Office	-	-	2,429	-	-	3,145	-	-	3,724	-	-	579
Executive Office of the President	-	-	375	-	-	-	-	-	-	-	-	-
FEMA	-	-	450	-	-	-	-	-	-	-	-	-
Headquarters Operations	-	-	4,429	-	-	16,751	-	-	19,931	-	-	3,180
Immigration and Customs Enforcement	-	-	-	-	-	154	-	-	184	-	-	30
National Protection and Programs Directorate	-	-	4,359	-	-	32,627	-	-	38,731	-	-	6,104
OHA	-	-	390	-	-	1,402	-	-	1,668	-	-	266
Singapore	-	-	1,500	-	-	-	-	-	-	-	-	-
Transportation Security Administration	-	-	15,143	-	-	2,354	-	-	2,801	-	-	447
United Kingdom	-	-	-	-	-	5,000	-	-	5,000	-	-	-
United States Coast Guard	-	-	-	-	-	3,160	-	-	3,761	-	-	601
United States Secret Service	-	-	88	-	-	-	-	-	-	-	-	-
<b>Total Budgetary Resources</b>	-	-	<b>78,393</b>	-	-	<b>132,858</b>	-	-	<b>141,329</b>	-	-	<b>8,471</b>



	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority			Increase/Decrease		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
<b>Obligations by Program/Project Activity:</b>												
Acquisition and Operations Support	-	-	53,557	-	-	48,035	-	-	41,341	-	-	(6,694)
Laboratory Facilities	-	-	204	-	-	800	-	-	-	-	-	(800)
Research, Development, and Innovation	-	-	24,632	-	-	84,023	-	-	99,988	-	-	15,965
<b>Total Obligations</b>	-	-	<b>78,393</b>	-	-	<b>132,858</b>	-	-	<b>141,329</b>	-	-	<b>8,471</b>

FY 2012 and FY 2013 increases due to increased FFRDC contract ceiling

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	13,512	13,512	13,583	71
11.3 Other than full-time permanent	273	-	-	-
11.5 Other personnel compensation	837	-	-	-
11.7 Military personnel/Awards	-	1,561	1,561	-
12.1 Benefits	3,917	3,850	3,850	-
<b>Total, Personnel and Other Compensation Benefits</b>	<b>18,539</b>	<b>18,923</b>	<b>18,994</b>	<b>71</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	3,507	4,183	4,183	-
22.0 Transportation of things	19	-	-	-
23.1 GSA rent	4,426	1,250	1,289	39
23.2 Other rent	261	-	-	-
23.3 Communications, utilities, and misc. charges	10,468	12,804	13,201	397
25.1 Advisory and assistance services	166,217	40,724	38,870	(1,854)
25.2 Other services	3,826	2,458	2,469	11
25.3 Purchases from Gov't accts.	5,867	5,915	6,058	143
25.4 O&M of facilities	33,975	72,225	62,540	(9,685)
25.5 R&D of contracts	448,967	326,004	497,996	171,992
25.6 Medical care	133	-	-	-
25.7 Operation and maintenance of equipment	898	649	668	19
26.0 Supplies and materials	4,411	5,641	5,801	160
31.0 Equipment	4,066	1,871	1,927	56
32.0 Land & structures	880	50,000	-	(50,000)
41.0 Grants/Subsidies/Contributions	58,107	39,059	39,174	115
42.0 Insurance Claims and Indemnity	-	294	294	-
<b>Total, Other Object Classes</b>	<b>746,028</b>	<b>563,077</b>	<b>674,470</b>	<b>111,393</b>
<b>Total, Direct Obligations</b>	<b>764,567</b>	<b>582,000</b>	<b>693,464</b>	<b>111,464</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(49,000)	-	49,000
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(49,000)</b>	<b>-</b>	<b>49,000</b>
<b>Total Requirements</b>	<b>764,567</b>	<b>533,000</b>	<b>693,464</b>	<b>160,464</b>
<b>Full Time Equivalents</b>	<b>130</b>	<b>130</b>	<b>130</b>	<b>-</b>

## F. Permanent Positions by Grade

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Permanent Positions by Grade**

	FY 2011	FY 2012	FY 2013	FY 2012 to
	Actual Obligations	Enacted Budget Authority	Requested Budget Authority	FY 2013 Change
	Pos.	Pos.	Pos.	Total
<b>Grades and Salary Ranges</b>				
Total, SES	1	1	1	-
GS-15	26	26	26	-
GS-14	41	41	41	-
GS-13	17	17	17	-
Other Graded Positions	45	45	45	-
<b>Total Permanent Positions</b>	<b>130</b>	<b>130</b>	<b>130</b>	-
Unfilled Positions EOY	130	130	130	-
Total Permanent Employment EOY	130	130	130	-
U.S. Field	130	130	130	-
<b>Total, Research and Technology</b>	<b>130</b>	<b>130</b>	<b>130</b>	-
<b>Full Time Equivalents</b>	<b>130</b>	<b>130</b>	<b>130</b>	-
Average ES Salary	175,573	175,573	177,000	1,427
Average GS Salary	108,000	108,000	110,000	2,000
Average Grade	14	14	14	-

## **G. Capital Investment and Construction Initiative Listing**

N/A

## H. PPA Budget Justifications

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Laboratory Facilities  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	13,512	13,512	13,583	71
11.3 Other than full-time permanent	273	-	-	-
11.5 Other personnel compensation	837	-	-	-
11.7 Military personnel/Awards	-	1,561	1,561	-
12.1 Benefits	3,886	3,850	3,850	-
<b>Total, Personnel and Compensation Benefits</b>	<b>18,508</b>	<b>18,923</b>	<b>18,994</b>	<b>71</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	670	635	635	-
22.0 Transportation of things	13	-	-	-
23.1 GSA rent	4,426	1,250	1,289	39
23.2 Other rent	85	-	-	-
23.3 Communications, utilities, and misc. charges	10,468	12,804	13,201	397
25.1 Advisory and assistance services	74,651	10,977	10,428	(549)
25.2 Other services	512	345	356	11
25.3 Purchases from Gov't accts.	3,542	4,611	4,754	143
25.4 O&M of facilities	26,575	72,152	62,467	(9,685)
25.5 R&D of contracts	9,002	7,269	7,494	225
25.7 Operation and maintenance of equipment	711	616	635	19
26.0 Supplies and materials	2,820	5,163	5,323	160
31.0 Equipment	3,890	1,800	1,856	56
32.0 Land & structures	880	50,000	-	(50,000)
<b>Total, Other Object Classes</b>	<b>138,245</b>	<b>167,622</b>	<b>108,438</b>	<b>(59,184)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(10,045)	-	10,045
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(10,045)</b>	<b>-</b>	<b>10,045</b>
<b>Total Requirements</b>	<b>156,753</b>	<b>176,500</b>	<b>127,432</b>	<b>(49,068)</b>
<b>Full Time Equivalents</b>	<b>130</b>	<b>130</b>	<b>130</b>	<b>-</b>

### Laboratory Facilities Mission Statement

Manages the Laboratory Facilities programs. The Office of National Laboratories (ONL) provides the Nation with a coordinated, enduring core of productive science, technology and engineering laboratories, organizations and institutions, which can provide the knowledge and technology required to secure our homeland. ONL executes two programs: Construction and Lab Operations.

### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	13,512	13,512	13,583	71
11.3 Other than full-time permanent	273	-	-	-
11.5 Other personnel compensation	837	-	-	-
11.7 Military personnel/Awards	-	1,561	1,561	-
12.1 Benefits	3,886	3,850	3,850	-
<b>Total, Salaries &amp; Benefits</b>	<b>18,508</b>	<b>18,923</b>	<b>18,994</b>	<b>71</b>

Salaries and Benefits includes costs for FTEs located at DHS S&T-operated laboratories. This includes an increase of \$71,000 for pay raises.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$4,426	\$1,250	\$1,289	\$39

GSA Rent provides funding for rental space provided by General Services Administration (GSA) to the National Urban Security and Technology Laboratory (NUSTL), formerly Environmental Measurements Laboratory (EML) facilities. This includes an increase of \$39,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$10,468	\$12,804	\$13,201	\$397

Communications, Utilities, and Misc Charges provides funds for communications, utilities, and related charges at laboratories managed by ONL. Includes an increase of \$397,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$74,651	\$10,977	\$10,428	-\$549

Advisory and assistance provides funds for Intergovernmental Personnel Act and consultants in management and professional support services and engineering and technical services. Such personnel support both operations and construction activities. Includes a decrease of \$549,000 for contract efficiency.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$512	\$345	\$356	\$11

Other Services provide funds for mission essential training and tuition. Includes an increase of \$11,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accts.	\$3,542	\$4,611	\$4,754	\$143

Purchase from Government Accounts provides costs for administrative support, contracting administration support, and rent for interim non-GSA facilities. Includes an increase of \$143,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.4 O&M of facilities	\$26,575	\$72,152	\$62,467	-\$9,685

Operation and maintenance of facilities provides normal daily operations of PIADC, NUSTL, TSL, and NBACC. The costs include maintenance and repair of building and land. Unobligated carryover funds are included in FY 2012 and accounts for the \$9,685,000 decrease in FY 2013. Includes an increase of \$861,000 for PIADC.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 R&D of contracts	\$9,002	\$7,269	\$7,494	\$225

Research and Development includes costs for contracts for basic and applied research and development. Includes an increase of \$225,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.7 Operation and maintenance of equipment	\$711	\$616	\$635	\$19

Operation and maintenance of equipment provides normal daily operations and maintenance of PIADC, NUSTL, TSL, and NBACC equipment. Includes a decrease of \$19,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
26.0 Supplies and materials	\$2,820	\$5,163	\$5,323	\$160

Supplies and materials provides daily office supplies, fuel for PIADC, and gasoline. Includes an increase of \$160,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Equipment	\$3,890	\$1,800	\$1,856	\$56

Equipment provides costs for personal property, and information technology hardware/software, and includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. Includes a decrease of \$56,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
32.0 Land & structures	\$880	\$50,000	0	-\$50,000

Land and Structures provides costs for construction and capital improvement activities. The FY 2013 request reflects a non-recur decrease of \$50,000,000 due to NBAF reassessment.

**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
University Programs  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	154	199	199	-
25.1 Advisory and assistance services	6,588	1,795	1,795	-
25.2 Other services	3,107	798	798	-
41.0 Grants/Subsidies/Contributions	41,954	37,093	37,208	115
<b>Total, Other Object Classes</b>	<b>51,803</b>	<b>39,885</b>	<b>40,000</b>	<b>115</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(3,322)	-	3,322
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(3,322)</b>	-	<b>3,322</b>
<b>Total Requirements</b>	<b>51,803</b>	<b>36,563</b>	<b>40,000</b>	<b>3,437</b>
<b>Full Time Equivalents</b>	-	-	-	-

**University Programs Mission Statement**

Supports critical homeland security-related research and education at U.S. colleges and universities to address high-priority DHS-related issues and to enhance homeland security capabilities over the long term. The three thrust areas of University Programs include: Centers of Excellence, Education, and Minority Serving Institutions.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>\$41,954</b>	<b>\$37,093</b>	<b>\$37,208</b>	<b>\$115</b>

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. This includes funding provided to Centers of Excellence (COEs), homeland security related science, technology, engineering and mathematics (HS-STEM) Career Development Grants, and Minority Serving Institutions (MSI) Leadership Grants. The program increase of \$115,000 includes COEs, Education Programs and MSIs.



**Department of Homeland Security  
Science & Technology  
Research, Development, Acquisitions, and Operations  
Research Development and Innovation  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,893	2,894	2,894	-
25.1 Advisory and assistance services	67,119	26,094	24,789	(1,305)
25.2 Other services	165	1,144	1,144	-
25.3 Purchases from Gov't accts.	2,221	1,134	1,134	-
25.4 O&M of facilities	7,400	63	63	-
25.5 R&D of contracts	405,553	264,055	445,554	181,499
25.7 Operation and maintenance of equipment	186	29	29	-
26.0 Supplies and materials	1,589	413	413	-
31.0 Equipment	176	62	62	-
41.0 Grants/Subsidies/Contributions	14,087	1,966	1,966	-
<b>Total, Other Object Classes</b>	<b>500,389</b>	<b>297,854</b>	<b>478,048</b>	<b>180,194</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(32,071)	-	32,071
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(32,071)</b>	-	<b>32,071</b>
<b>Total Requirements</b>	<b>500,389</b>	<b>265,783</b>	<b>478,048</b>	<b>212,265</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Research Development and Innovation Mission Statement**

Provides state-of-the-art technology and/or solutions to meet the needs of the operational components of the Department and the first responder community. Includes customer-focused and output-oriented RDT&E programs that balance risk, cost, impact, and time to delivery. The six thrust areas of RD&I include: APEX Research and Development; Border Security; Chemical, Biological, Radiological, Nuclear, and Explosive Defense (CBRNE); Counter Terrorist; Cyber Security; and Disaster Resilience.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	\$67,119	\$26,094	\$24,789	-\$1,305

Advisory and assistance provide funds for Intergovernmental Personnel Act (IPA) and consultants in management and professional support services and engineering and technical services. Includes a decrease of \$1,305,000 which will be realigned to Research and Development.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 R&D of contracts	\$405,553	\$264,055	\$445,554	\$181,499

Research and Development includes costs for contracts for basic and applied research and development. An increase of \$181,499,000 is included to rapidly develop next gen bio-detector, to begin work in nuclear incident response and recovery, and maintain cyber security priorities. The program increase also includes R&D activities in Land and Maritime Border Security, Bioagent Detection and Threat Assessment, Explosives Detection and Threat Assessment, Disaster Resiliency, including First Responder Capability, and Hostile Behavior and Identity Management.

**Department of Homeland Security**  
**Science & Technology**  
**Research, Development, Acquisitions, and Operations**  
**Acquisition and Operations Support**  
**Summary of Requirements by Object Class**  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
12.1 Benefits	31	-	-	-
<b>Total, Personnel and Compensation Benefits</b>	<b>31</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	790	455	455	-
22.0 Transportation of things	6	-	-	-
23.2 Other rent	176	-	-	-
25.1 Advisory and assistance services	17,859	1,858	1,858	-
25.2 Other services	42	171	171	-
25.3 Purchases from Gov't accts.	104	170	170	-
25.4 O&M of facilities	-	10	10	-
25.5 R&D of contracts	34,412	54,680	44,948	(9,732)
25.6 Medical care	133	-	-	-
25.7 Operation and maintenance of equipment	1	4	4	-
26.0 Supplies and materials	2	65	65	-
31.0 Equipment	-	9	9	-
41.0 Grants/Subsidies/Contributions	2,066	-	-	-
42.0 Insurance Claims and Indemnity	-	294	294	-
<b>Total, Other Object Classes</b>	<b>55,591</b>	<b>57,716</b>	<b>47,984</b>	<b>(9,732)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(3,562)	-	3,562
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(3,562)</b>	<b>-</b>	<b>3,562</b>
<b>Total Requirements</b>	<b>55,622</b>	<b>54,154</b>	<b>47,984</b>	<b>(6,170)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Acquisition and Operations Support Mission Statement**

Provides expert assistance to entities across the Homeland Security Enterprise (HSE) to ensure that the transition, acquisition, and deployment of technologies, information, and procedures improve the efficiency and effectiveness of the operational capabilities across the HSE mission. The five thrust areas of Acquisition and Operations Support are: Operations Research and Analysis; Safety Act; Standards; Technology Transition Support; and Testing and Evaluation.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.5 R&amp;D of contracts</b>	<b>\$34,412</b>	<b>\$54,680</b>	<b>\$44,948</b>	<b>-\$9,732</b>

Research and Development includes costs for contracts for basic and applied research and development. Includes an overall decrease of \$9,732 in the areas of Operations Research and Analysis, Standards and SAFETY Act.

# 1. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>130</b>	<b>130</b>	<b>130</b>
<b>Year End Actuals/Estimated FTEs:</b>	<b>130</b>	<b>130</b>	<b>130</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>-</b>	<b>-</b>	<b>-</b>

**J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity**

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

N/A

**K. DHS Balanced Workforce Strategy**

N/A

# Department of Homeland Security

*Domestic Nuclear Detection Office*

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Fiscal Year 2013  
One-Time Exhibits  
Congressional Justification



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**i. Summary of FY Budget Estimates by Appropriation without Emergency Funding**

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Summary of FY 2013 Budget Estimates by Appropriation**

Total Appropriations  
(Dollars in Thousands)

Appropriation	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Management and Administration	122	120	34,924	130	130	38,000	130	130	39,692	-	-	1,692	-	-	-	-	-	1,692
Research, Development, and Operations			297,992			215,000			236,830	-	-	21,830	-	-	27,255	-	-	(5,425)
Systems Acquisition			40,589			37,000			51,455			14,455			14,455			-
<b>Total, DNDO</b>	<b>122</b>	<b>120</b>	<b>\$373,505</b>	<b>130</b>	<b>130</b>	<b>\$290,000</b>	<b>130</b>	<b>130</b>	<b>\$327,977</b>	<b>-</b>	<b>-</b>	<b>\$37,977</b>	<b>-</b>	<b>-</b>	<b>\$41,710</b>	<b>-</b>	<b>-</b>	<b>(\$3,733)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>122</b>	<b>120</b>	<b>\$373,505</b>	<b>130</b>	<b>130</b>	<b>\$290,000</b>	<b>130</b>	<b>130</b>	<b>\$327,977</b>	<b>-</b>	<b>-</b>	<b>\$37,977</b>	<b>-</b>	<b>-</b>	<b>\$41,710</b>	<b>-</b>	<b>-</b>	<b>(\$3,733)</b>
<b>Less: Adjustments for Other Funding Sources</b>	<b>-</b>	<b>-</b>	<b>(10,886)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>122</b>	<b>120</b>	<b>\$362,619</b>	<b>130</b>	<b>130</b>	<b>\$290,000</b>	<b>130</b>	<b>130</b>	<b>\$327,977</b>	<b>-</b>	<b>-</b>	<b>\$37,977</b>	<b>-</b>	<b>-</b>	<b>\$41,710</b>	<b>-</b>	<b>-</b>	<b>(\$3,733)</b>

ii. Homeland and Non-Homeland Allocation

**Department of Homeland Security  
Domestic Nuclear Detection Office**  
Homeland and Non-Homeland Allocation by Program/Projects Activity  
(Dollars in Thousands)

	FY 2011						FY 2012						FY 2013					
	Actual Obligations						Enacted Budget Authority						Requested Budget Authority					
	PPA Homeland Percentage		PPA Non Homeland Percentage		Total		PPA Homeland Percentage		PPA Non-Homeland Percentage		Total		PPA Homeland Percentage		PPA Non Homeland Percentage		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Management and Administration:</b>	120	\$34,924	0	0	120	\$34,924	130	\$38,000	0	0	130	\$38,000	130	\$39,692	0	0	130	\$39,692
Salaries and Expenses	120	34,924	0	0	120	34,924	130	38,000	0	0	130	38,000	130	39,692	0	0	130	39,692
<b>Research, Development, and Operations</b>	0	\$297,992	0	0	0	\$297,992	0	\$215,000	0	0	0	\$215,000	0	\$236,830	0	0	0	\$236,830
Systems Engineering and Architecture	0	34,607	0	0	0	34,607	0	30,000	0	0	0	30,000	0	30,091	0	0	0	30,091
Systems Development	0	68,420	0	0	0	68,420	0	51,000	0	0	0	51,000	0	28,401	0	0	0	28,401
Transformational R&D	0	98,478	0	0	0	98,478	0	40,000	0	0	0	40,000	0	83,897	0	0	0	83,897
Assessments	0	40,799	0	0	0	40,799	0	38,000	0	0	0	38,000	0	33,198	0	0	0	33,198
Operations Support		32,656	0	0		32,656	0	33,000	0	0	0	33,000	0	35,679	0	0	0	35,679
National Technical Nuclear Forensics Center		23,032	0	0		23,032	0	23,000	0	0	0	23,000	0	25,564	0	0	0	25,564
<b>Systems Acquisition</b>	0	\$40,589	0	0	0	\$40,589	0	\$37,000	0	0	0	\$37,000	0	\$51,455	0	0	0	\$51,455
Radiation Portal Monitor Program		26,274	0	0		26,274	0	7,000	0	0	0	7,000	0	1,355	0	0	0	1,355
Securing the Cities		3,736	0	0		3,736	0	22,000	0	0	0	22,000	0	22,000	0	0	0	22,000
Human Portable Radiation Detection Systems		10,579	0	0		10,579	0	8,000	0	0	0	8,000	0	28,100	0	0	0	28,100
<b>Total</b>	<b>120</b>	<b>\$373,505</b>	<b>0</b>	<b>0</b>	<b>120</b>	<b>\$373,505</b>	<b>130</b>	<b>\$290,000</b>	<b>0</b>	<b>0</b>	<b>130</b>	<b>\$290,000</b>	<b>130</b>	<b>\$327,977</b>	<b>0</b>	<b>0</b>	<b>130</b>	<b>\$327,977</b>

**iii. Status of Congressionally Requested Studies, Reports, and Evaluations**

**Department of Homeland Security  
Domestic Nuclear Detection Office**

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/ Citation</b>	<b>Requirement</b>	<b>Status</b>
FY 2009	4/30/2009	P.L. 111-8; Joint Explanatory Statement; House Report 110-862	Cargo Advanced Automated Radiography System. The Committee directs that DNDO shall submit a report on the cargo advanced automated radiography system that discusses the Office's progress in developing this system and an explanation of the process used to solicit requests from all eligible applicants, including minority, women, and veteran - owned businesses, as discussed in the House report.	In Progress
FY 2012	6/20/2012	Senate Report 112-74	Transformational and Applied Research Program. The Committee therefore directs DNDO to provide, not later than 60 days after the date of the enactment of this Act, a detailed breakout of how it intends to fund these activities at the reduced appropriation level.	In Progress
FY 2012	3/30/2012	Senate Report 112-74	DNDO FY12 Expenditure Plan - Radiological and Nuclear Challenge. The Committee ... directs DNDO to provide a detailed spend plan and program development plans for the Rad/Nuc Challenge no later than 60 days after the date of enactment of this Act.	In Progress
FY 2012	3/30/2012	Senate Report 112-74	DNDO FY12 Expenditure Plan - Mission Critical Messaging. The Committee further directs DNDO to provide a spend plan for the MCM program no later than 90 days after the date of enactment of this Act.	In Progress

<b>Fiscal Year</b>	<b>Due Date</b>	<b>Reference/ Citation</b>	<b>Requirement</b>	<b>Status</b>
FY 2012	6/20/2012	P.L. 112-74; Joint Explanatory Statement;	Global Nuclear Detection Architecture. The Secretary is directed to submit to the Committees no later than 180 days after enactment of this Act a strategic plan of investments necessary to implement the Department's responsibilities under the domestic component of the Global Nuclear Detection Architecture (GNDA) as required by this Act.	In Progress
FY 2012	4/21/2012	Senate Report 112-74	Securing the Cities (STC) Program. In lieu of the reports required by the House and Senate on the STC program, DNDO is directed to provide a report, before committing funds to a new STC location.	In Progress

**iv: Schedule of Authorized/Unauthorized Appropriations by PPA**

**Department of Homeland Security  
Domestic Nuclear Detection Office**

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

Budget Activity	Last Year of Authorization	Authorized Level	Appropriation in Last Year of Authorization	FY 2013 Requested Budget Authority
	Fiscal Year	Amount	Amount	Amount
<b>Management and Administration</b>	N/A	N/A	N/A	<b>\$39,692</b>
<b>Research, Development, and Operations</b>	N/A	N/A	N/A	<b>\$236,830</b>
Systems Engineering and Architecture	N/A	N/A	N/A	30,091
Systems Development	N/A	N/A	N/A	28,401
Transformational R&D	N/A	N/A	N/A	83,897
Assessments	N/A	N/A	N/A	33,198
Operations Support	N/A	N/A	N/A	35,679
National Technical Nuclear Forensics Center	N/A	N/A	N/A	25,564
<b>Systems Acquisition</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>\$51,455</b>
Radiation Portal Monitor Program	N/A	N/A	N/A	1,355
Securing the Cities	N/A	N/A	N/A	22,000
Human Portable Radiation Detection Systems	N/A	N/A	N/A	28,100
<b>Total Direct Authorization/Appropriation</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>\$327,977</b>

# Department of Homeland Security

Domestic Nuclear Detection Office  
*Management and Administration*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Domestic Nuclear Detection Office Management and Administration**

## **I. Appropriation Overview**

### **A. Mission Statement for Management and Administration:**

The Department of Homeland Security (DHS) Domestic Nuclear Detection Office (DNDO) is the lead agency “responsible for coordinating Federal efforts to detect and protect against the unauthorized importation, possession, storage, transportation, development, or use of a nuclear explosive device, fissile material, or radiological material in the United States, and to protect against attack using such devices or materials against the people, territory, or interests of the United States<sup>1</sup>. Essential to this authority, DNDO “shall serve as the primary entity of the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect, prevent, deter and report on attempts to move, control or use, the radiological and nuclear (rad/nuc) material<sup>2</sup>” as prescribed in the Security and Accountability For Every Port Act of 2006 (SAFE Port Act, P.L. 109-347). Additionally, DNDO is authorized to “enhance and coordinate the nuclear detection efforts of Federal, State, local, and tribal governments and the private sector to ensure a managed, coordinated response.”

DHS has integrated Departmental nuclear detection program technology development, test, evaluation, operational support activities, research and development, and nuclear forensics activities into DNDO, pursuant to the SAFE Port Act. DNDO is dedicated to the development and enhancement of the Global Nuclear Detection Architecture (GNDA); acquisition and deployment support for the domestic detection systems for DHS Components and in some instances, State and local agencies; coordination of effective sharing of nuclear detection-related information; establishment of procedures and training for end users of nuclear detection equipment; and national-level integration, development, and advancement of an enduring national nuclear forensics capability.

The Management and Administration (M&A) appropriation provides for the support to accomplish the DNDO mission. M&A includes all costs related to Federal personnel, including detailees from other organizations, supplies and materials, and information technology (IT) equipment and support. DNDO also contributes M&A funds to the DHS Working Capital Fund (WCF) for facilities, other infrastructure and security costs, human resource support, acquisition support, IT services, training and travel costs. Most of DNDO’s contributions to the DHS WCF are included within the M&A request.

### **B. Budget Activities:**

Management and Administration: The DNDO Fiscal Year (FY) 2013 request provides for 130 full-time positions (FTP) and full-time equivalents (FTE) of which approximately 17 are detailees. As a jointly-staffed office with personnel from across the Federal government, DNDO provides reimbursement to parent organizations for detailed staff.

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<sup>1</sup> 6 U.S.C. § 592

<sup>2</sup> Ibid.

As DNDO has matured as an organization, the Business and Finance Office has improved its ability to provide internal controls guidance, fiscal accountability, and transparency. DNDO's internal controls process is designed to provide assurance regarding the accountability, reliability, and transparency of financial reporting by complying with laws and regulations pertaining to financial reporting and establishing controls that safeguard assets from waste, loss, unauthorized use, or misappropriation. In accordance with Office of Management and Budget (OMB) Circular A-123, DNDO leadership is conducting the tests necessary to meet the essential responsibility of ensuring that *"federal programs operate and federal resources are used efficiently to achieve desired objectives."*

**C. Budget Request Summary:**

The Domestic Nuclear Detection Office requests \$39.692 million and 130 FTE within M&A for FY 2013.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:**  
Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Requested Budget Authority  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Management and Administration:	122	120	34,924	130	130	38,000	130	130	39,692	-	-	1,692	-	-	-	-	-	1,692
<b>Total, Management and Administration:</b>	<b>122</b>	<b>120</b>	<b>34,924</b>	<b>130</b>	<b>130</b>	<b>38,000</b>	<b>130</b>	<b>130</b>	<b>39,692</b>	<b>-</b>	<b>-</b>	<b>1,692</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,692</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	<b>122</b>	<b>120</b>	<b>34,924</b>	<b>130</b>	<b>130</b>	<b>38,000</b>	<b>130</b>	<b>130</b>	<b>39,692</b>	<b>-</b>	<b>-</b>	<b>1,692</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,692</b>
Less: Adjustments for Other Funding Sources	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	<b>122</b>	<b>120</b>	<b>34,924</b>	<b>130</b>	<b>130</b>	<b>38,000</b>	<b>130</b>	<b>130</b>	<b>39,692</b>	<b>-</b>	<b>-</b>	<b>1,692</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,692</b>

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Management and Administration:**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	<b>122</b>	<b>120</b>	<b>34,924</b>
<b>2012 Enacted Budget Authority</b>	<b>130</b>	<b>130</b>	<b>38,000</b>
2013 Adjustments-to-Base	-	-	1,692
<b>2013 Current Services</b>	<b>130</b>	<b>130</b>	<b>39,692</b>
<b>2013 Total Requested Budget Authority</b>	<b>130</b>	<b>130</b>	<b>39,692</b>
Total Change 2012 to 2013	-	-	1,692

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The M&A appropriation funds the administration of DNDO and provides for the execution of salaries, benefits, and expenses related to 130 FTE. Additionally, funds are provided to the DHS WCF which provides such services as rent, the services of acquisition support from the Office of Procurement Operations, and IT infrastructure support.

The FY 2013 M&A budget request incorporates reductions to IT expenses, and other efficiencies. DNDO continues to operate in a non-integrated environment for financial and procurement management, and has made great strides to improve the transparency in all aspects of financial management operations from formulation through execution.

DNDO expects to achieve efficiencies totaling \$0.836 million in the cost of IT Services. The DHS CIO has initiated a multi-year campaign to drive down costs for IT Services that provide desktop and network services. Locally, DNDO has been able to reduce the total cost for wireless services by instituting a process whereas blackberry and wireless card users are provided a monthly summary of usage costs. Through the simple awareness of the billing structure and usage, employees were able to alter habits and see the changes reflected in their individual bills.

In addition to providing funding for federal salaries and benefits for DNDO personnel, M&A funds support detailees from other DHS Components and from other Federal agencies such as the Department of Energy, the Federal Bureau of Investigation, the Department of Defense, the Nuclear Regulatory Commission, and others.

The M&A appropriation also supports the following:

- DNDO Professional Development Program – The program works to upgrade employees’ knowledge, skills, and abilities and supports required certifications and training. This program works to meet individual development plans, departmental requirements, and DNDO’s need to employ and retain skilled personnel.
- Facilities – Provides day-to-day building and maintenance services, utilities, security upgrades, document destruction service, moving services, furniture repair and replacement and any additional services that directly support the physical work environment.
- Information Technology (IT) – Includes all IT services not directly procured through the WFC such as maintenance support, printing supplies, video teleconferencing equipment, and operation and maintenance of the secure network and records management applications such as SharePoint.
- Official Reception and Representation (ORR) – Provides a small amount of funding to host official events and extend official courtesies on behalf of DHS, within the limitations established by Congress.
- DNDO Accounting Database – Provides funding to utilize the United States Coast Guard and other contract services for operations and maintenance of accounting databases, and to provide compensating controls to ensure financial data integrity.

The M&A appropriation provides funding that assists in the achievement of DNDO’s mission through the following leadership and administrative elements:

### *Office of the Director*

- **Director’s Office.** The Director’s Office supports the Director in disseminating information and communicating the DNDO vision, plans, strategies, and activities to partners including DHS Components, other Executive Branch agencies, Congress, international partners, and the American public. Communications and policy support for the Director and Deputy Director include coordination of DNDO messaging and external affairs and associated preparation of materials (papers, responses, speeches, testimony, fact sheets, briefings, etc.), as appropriate.
- **Office of the Chief Financial Officer (OCFO).** OCFO oversees financial management activities including Budget Planning and Formulation, Budget Execution, Internal Controls, Data Management, and Performance-Based Budgeting.
- **Office of the Assistant General Counsel.** Serves as primary legal advisor to DNDO regarding legal issues arising under all aspects of the DNDO mission. This includes advising on the scope of authority of DNDO, procurement contracts, assistance agreements, claims, protests, litigation, ethics, privacy, and other areas. Serves as liaison between DNDO and the DHS Headquarters (HQ) Office of the General Counsel.

- **Red Team and Net Assessments.** Serves as DNDO’s primary means to assess the operational effectiveness and performance of DNDO programs and deployed radiological and nuclear (rad/nuc) detection capabilities at the Federal, State, local and tribal levels in support of the GNDA.

*Office of the Chief of Staff*

- **Information Technology.** Provides oversight of and leads DNDO IT initiatives and programs and coordination with the DHS HQ Office of the Chief Information Officer.
- **Executive Secretariat.** Collaborates within DNDO and with other Component Executive Secretariats to ensure full compliance with and cross coordination for tasks assigned to DNDO. Coordinates internally-generated tasks, ensuring timely response.
- **Security.** Implements, directs, and manages the following programs for DNDO: Counterintelligence, Information Security, Foreign Disclosure, Operations Security (OPSEC), Physical Security, Personnel Security, Anti-Terrorism/Force Protection, and Crime Prevention.
- **Human Resources.** Executes the functions of the Human Resources Officer and ensures the provision of a variety of human capital services in support of DNDO personnel in accordance with DHS Chief Human Capital Office requirements. This includes oversees recruitment, staffing, performance management, professional development, and employee relations.
- **Administration and Facility Resources.** Oversees and provides various administrative support services pertaining to general office operations, facilities, purchase cards, travel, and records management.

M&A further provides support to the Directorates operating within the organizational structure of DNDO. The functions of each Directorate include:

- **Architecture and Planning Directorate (APD).** In cooperation with DNDO’s intra- and interagency partners, APD develops the GNDA’s strategies and plans for improving the Nation’s ability to detect and prevent rad/nuc attacks. APD also identifies, coordinates, and prioritizes programs across DNDO that meet the needs and enhance the capability of stakeholders, thereby, reducing the risk of rad/nuc terrorism.
- **Systems Engineering and Evaluation Directorate (SEED).** Characterizes and evaluates technical solutions for rad/nuc detection and ensures that systems are thoroughly tested prior to deployment. SEED also maintains DNDO test infrastructure and works to develop standards for rad/nuc detection equipment.
- **Transformational and Applied Research Directorate (TAR).** Develops break-through technologies that will address gaps in the GNDA and have a positive impact on capabilities to detect nuclear threats, through an aggressive and expedited research and development program.

- **Product Acquisition and Deployment Directorate (PADD)** Carries out the engineering development, production, logistics, procurement and deployment of current and next-generation nuclear detection systems in support of an end-user community, including Customs and Border Protection, U.S. Coast Guard, and Transportation Security Administration.
- **Operations Support Directorate (OSD)**. Develops the information sharing and analytical capacity necessary to create a fully integrated operating environment. OSD also conducts training, exercises, outreach, and technical assistance in support of rad/nuc detection programs.
- **National Technical Nuclear Forensics Center (NTNFC)**. Provides national-level integration, centralized planning, and stewardship for the technical nuclear forensics community, and leads the United States Government efforts in establishing a robust and enduring pre-detonation rad/nuc materials forensics capability.

#### **IV. Program Justification Changes**

N/A



## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For salaries and expenses of the Domestic Nuclear Detection Office, as authorized by title XIX of the Homeland Security Act of 2002 (6 U.S.C. 591 et seq.), for management and administration of programs and activities, **\$39,692,000**: Provided, That not to exceed \$2,500 shall be for official reception and representation expenses.

#### **Explanation of Changes:**

No substantive changes included.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	<b>122</b>	<b>120</b>	<b>34,924</b>
<b>FY 2012 Enacted Budget Authority</b>	<b>130</b>	<b>130</b>	<b>38,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Increases</b>	-	-	-
2013 pay increase	-	-	43
GSA Rent	-	-	1,522
Working Capital Fund Increase	-	-	963
<b>Total, Increases</b>	-	-	<b>2,528</b>
<b>Decreases</b>	-	-	-
Management Efficiencies	-	-	(836)
<b>Total, Decreases</b>	-	-	<b>(836)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>1,692</b>
<b>FY 2013 Current Services</b>	<b>130</b>	<b>130</b>	<b>39,692</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
<b>Total, Increases</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	<b>130</b>	<b>130</b>	<b>39,692</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>1,692</b>

## C. Summary of Requirements

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	122	120	34,924
FY 2012 Enacted Budget Authority	130	130	38,000
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	2,528
Decreases	-	-	(836)
<b>Total, Adjustments-to-Base</b>	-	-	1,692
<b>FY 2013 Current Services</b>	130	130	39,692
<b>Program Changes</b>	-	-	-
<b>Total, Program Changes</b>	-	-	-
<b>FY 2013 Requested Budget Authority</b>	130	130	39,692
<b>FY 2012 to FY 2013 Total Change</b>	-	-	1,692

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Management and Administration:	130	130	38,000	-	-	1,692	-	-	-	130	130	39,692	-	-	1,692
<b>Total</b>	<b>130</b>	<b>130</b>	<b>38,000</b>	<b>-</b>	<b>-</b>	<b>1,692</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>130</b>	<b>130</b>	<b>39,692</b>	<b>-</b>	<b>-</b>	<b>1,692</b>

**D. Summary of Reimbursable Resources**

**N/A**

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	14,027	16,568	16,769	201
11.5 Other personnel compensation	486	406	411	5
12.1 Benefits	3,829	4,088	4,139	51
<b>Total, Personnel and Other Compensation Benefits</b>	<b>18,342</b>	<b>21,062</b>	<b>21,319</b>	<b>257</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	65	84	100	16
23.1 GSA rent	3,467	3,467	4,990	1,523
23.3 Communications, utilities, and misc. charges	105	90	130	40
24.0 Printing	9	20	30	10
25.2 Other services	391	319	368	49
25.3 Purchases from Gov't accts.	11,116	12,135	11,787	(348)
25.7 Operation and maintenance of equipment	852	675	422	(253)
26.0 Supplies and materials	177	148	160	12
31.0 Equipment	400	-	386	386
<b>Total, Other Object Classes</b>	<b>16,582</b>	<b>16,938</b>	<b>18,373</b>	<b>1,435</b>
<b>Total, Direct Obligations</b>	<b>34,924</b>	<b>38,000</b>	<b>39,692</b>	<b>1,692</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,924</b>	<b>38,000</b>	<b>39,692</b>	<b>1,692</b>
<b>Full Time Equivalents</b>	<b>120</b>	<b>130</b>	<b>130</b>	-

## F. Permanent Positions by Grade

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:  
Permanent Positions by Grade**

	FY 2011 Actual Obligations Pos.	FY 2012 Enacted Budget Authority Pos.	FY 2013 Requested Budget Authority Pos.	FY 2012 to FY 2013 Change Total
<b>Grades and Salary Ranges</b>				
Total, SES	7	8	8	-
Total, EX	1	2	2	-
GS-15	63	65	65	-
GS-14	27	28	28	-
GS-13	11	13	13	-
GS-12	5	6	6	-
Other Graded Positions	8	8	8	-
<b>Total Permanent Positions</b>	<b>122</b>	<b>130</b>	<b>130</b>	<b>-</b>
Unfilled Positions EOY	-	-	-	-
Total Permanent Employment EOY	122	130	130	-
Headquarters	122	130	130	-
<b>Total, Management and Administration:</b>	<b>122</b>	<b>130</b>	<b>130</b>	<b>-</b>
<b>Full Time Equivalents</b>	<b>120</b>	<b>130</b>	<b>130</b>	<b>-</b>
Average ES Salary	167,724	167,361	170,039	2,678
Average GS Salary	122,306	118,255	120,117	1,862
Average Grade	15	15	15	-

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Management and Administration:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
11.1 Total FTE & personnel compensation	14,027	16,568	16,769	201
11.5 Other personnel compensation	486	406	411	5
12.1 Benefits	3,829	4,088	4,139	51
<b>Total, Personnel and Compensation Benefits</b>	<b>18,342</b>	<b>21,062</b>	<b>21,319</b>	<b>257</b>
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	65	84	100	16
23.1 GSA rent	3,467	3,467	4,990	1,523
23.3 Communications, utilities, and misc. charges	105	90	130	40
24.0 Printing	9	20	30	10
25.2 Other services	391	319	368	49
25.3 Purchases from Gov't accts.	11,116	12,135	11,787	(348)
25.7 Operation and maintenance of equipment	852	675	422	(253)
26.0 Supplies and materials	177	148	160	12
31.0 Equipment	400	-	386	386
<b>Total, Other Object Classes</b>	<b>16,582</b>	<b>16,938</b>	<b>18,373</b>	<b>1,435</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	-	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total Requirements</b>	<b>34,924</b>	<b>38,000</b>	<b>39,692</b>	<b>1,692</b>
<b>Full Time Equivalents</b>	<b>120</b>	<b>130</b>	<b>130</b>	-

### Management and Administration: Mission Statement

Per the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, the mission of Domestic Nuclear Detection Office (DNDO) is to substantially reduce the risk of nuclear terrorism against the United States by continuously improving capabilities to deter, detect, respond to, and attribute attacks, in coordination with domestic and international partners. The M&A appropriation provides for the management and administrative support of that goal. M&A includes all costs related to Federal personnel, including detailees from other organizations. The M&A appropriation accounts for the funding that assists in the achievement of DNDO's mission through the maintenance of an operations level that provides facilities, supplies and materials, IT equipment and administrative support. Most of DNDO's contributions to the DHS Working Capital Fund are included within the M&A request.



### Summary Justification and Explanation of Changes

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
11.1 Total FTE & personnel compensation	14,027	16,568	16,769	201
11.5 Other personnel compensation	486	406	411	5
12.1 Benefits	3,829	4,088	4,139	51
<b>Total, Salaries &amp; Benefits</b>	<b>18,342</b>	<b>21,062</b>	<b>21,319</b>	<b>257</b>

Salaries and Benefits include costs for 130 FTE. The FY 2013 request is \$21,319,000 for personnel compensation and benefits (Object Classes 11.1, 11.5, and 12.1). The FY 2013 program increase for Management and Administration for FY 2013 includes funding sufficient to maintain a staffing level of 130 FTEs.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	\$65	\$84	\$100	\$16

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$100,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.1 GSA rent	\$3,467	\$3,467	\$4,990	\$1,523

GSA Rent includes all payments to General Services Administration (GSA) for rental of space and rent related services. The FY 2013 request is \$4,989,849. Factored into the GSA cost is the rental of space through GSA to accommodate DNDO office requirements at a secondary location in Washington D.C.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
23.3 Communications, utilities, and misc. charges	\$105	\$90	\$130	\$40

Communications, utilities, and miscellaneous charges include all payments for rental or lease of information technology equipment and services, postal services and rentals, and utility services. The FY 2013 request is \$130,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
24.0 Printing	\$9	\$20	\$30	\$10

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request is \$30,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	\$391	\$319	\$368	\$49

Other services include contractual services with non-Federal sources that are not otherwise classified under Object Class 25 including training development and delivery. The FY 2013 request is \$368,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	\$11,116	\$12,135	\$11,787	-\$348

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$11,787,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	\$852	\$675	\$422	-\$253

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request is \$422,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	\$177	\$148	\$160	\$12

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request is \$160,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	\$400	0	\$386	\$386

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request is \$386,000.

# I. Changes In Full Time Employment

	FY 2011	FY 2012	FY 2013
<b>BASE: Year End Actual from Prior Year</b>	<b>118</b>	<b>120</b>	<b>130</b>
<b>Increases</b>			
Hiring to achieve authorized levels.	2	10	0
<b>Subtotal, Increases</b>	<b>2</b>	<b>10</b>	<b>0</b>
<b>Decreases</b>			
<b>Year End Actuals/Estimated FTEs:</b>	<b>120</b>	<b>130</b>	<b>130</b>
<b>Net Change from prior year base to Budget Year Estimate:</b>	<b>2</b>	<b>10</b>	<b>0</b>

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>Increase/Decrease for FY 2013</b>
Management and Administration:	\$8,940	\$9,247	\$11,775	\$2,528
<b>Total Working Capital Fund</b>	<b>8,940</b>	<b>9,247</b>	<b>11,775</b>	<b>2,528</b>

The total cost share associated with Office of Procurement Operations (OPO) is distributed between M&A, RD&O and Systems Acquisition.

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

*Domestic Nuclear Detection Office*  
*Research, Development, and Operations*

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Fiscal Year 2013  
Congressional Justification

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## **BUDGET REQUEST AND SUPPORTING INFORMATION**

### **Domestic Nuclear Detection Office Research, Development, and Operations**

#### **I. Appropriation Overview**

##### **Mission Statement for Research, Development, and Operations:**

The mission of the Department of Homeland Security's (DHS) Domestic Nuclear Detection Office (DNDO) is to counter the risk of nuclear terrorism against the United States by continuously improving capabilities to deter, detect, respond to, and attribute attacks, in coordination with domestic and international partners. DNDO's strategic focus includes prevention of acts of nuclear terrorism by developing and implementing a Global Nuclear Detection Architecture (GNDA) and advancing technical nuclear forensics capabilities. The GNDA incorporates detector systems, telecommunications, and personnel, with the supporting information exchanges, programs, and protocols that serve to detect, identify, and report on nuclear and radioactive materials and weapons out of regulatory control. To be effective, the GNDA requires close coordination with partners at the State, local, and tribal levels, within the Federal Government, with the private sector, and internationally. This strategy incorporates the concept of deterrence which serves as a capability multiplier against failure-averse adversaries and their enablers.

Because countering nuclear terrorism is a whole-of-government challenge, the United States Government (USG) has multiple Departments and Agencies with responsibilities within the GNDA, including the Departments of Defense (DoD), Energy (DOE), Justice (DOJ), and State (DOS), the Office of the Director of National Intelligence (DNI), and other Intelligence Community (IC) members, and the Nuclear Regulatory Commission (NRC). Within DHS, the Domestic Nuclear Detection Office (DNDO) has been charged with coordinating the development of the GNDA among the USG partners. In December 2010, DNDO delivered the GNDA Strategic Plan to Congress. This interagency product is designed to guide the nation's nuclear terrorism detection capacity and capability development over the next five years.

DNDO also annually submits the report on the "Global Nuclear Detection Architecture Joint Annual Interagency Review 2011" (2011 GNDA Annual Report) to Congress. The 2011 report includes information about the multiple USG programs that collectively seek to prevent radiological and nuclear (rad/nuc) terrorism against the United States by means of detection, analysis, and reporting on rad/nuc materials out of regulatory control<sup>1</sup>. This report fulfills a requirement of Section 1907 of the Homeland Security Act of 2002 (6 U.S.C. 101 et seq.) as added by Section 1103 of the "Implementing Recommendations of the 9/11 Commission Act of 2007" (P.L. 110-53), which mandates a Joint Annual Interagency Review of the GNDA. The report is jointly prepared by interagency partners including DoD, DOS, DOE, and DOJ, the ODNI, and the NRC.

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<sup>1</sup> The term "out of regulatory control" refers to materials that are being imported, possessed, stored, transported, developed, or used without authorization by the appropriate regulatory authority, either inadvertently or deliberately.



This year's budget submission reflects the impacts of the GNDA Strategic Plan and the Annual Report as DNDO continues to develop the GNDA. The Strategic Plan established the USG definition of the GNDA and established a framework for nuclear detection efforts that has been carried through in DNDO's planning and budgeting. In the Annual Report, departments and agencies were asked to specifically report on the performance goals identified in the GNDA Strategic Plan. Building upon these foundational documents and internalizing the recommendations has paved a path forward for DNDO's efforts and continued implementation of the architecture.

DNDO is also continuing to improve its modeling and analysis in support of the annual report and other GNDA analyses by integrating its advanced risk analysis capabilities, developed as part of the radiological and nuclear threat risk assessment (RNTRA) program and other risk analysis efforts, with other analysis capabilities into a GNDA analysis toolkit. This toolkit will apply best-of-breed, verified and validated analytic capabilities to support program assessments and prioritization, risk management, and architecture analyses of all types.

DNDO is focusing efforts to develop surge capabilities to detect threats within the context of limited or imperfect intelligence, warnings, or indicators. Ongoing work on the GNDA emphasizes mobile or agile detection components, which will increase the capability to respond to escalated threat levels by focusing detection assets on effective interdiction. The architecture must account for physical and technical limitation in order to achieve the best strategies, systems, and operations for nuclear detection. DNDO will use existing capabilities and a variety of operations and assets at the Federal, State, local, and tribal levels to surge our radiological and nuclear detection abilities in a coordinated fashion in response to suspected threats. The ability to surge rad/nuc detection capabilities will necessarily rely on the multiple State and local law enforcement agencies that are available to perform rad/nuc detection operations using mobile and human-portable sensors. DNDO is promoting several opportunities to emphasize the rad/nuc detection capabilities and operations at the State, local and tribal levels. Along with the Securing the Cities (STC) Program, DNDO will increase the number of engagements with stakeholders to conduct covert testing.

DNDO was established by National Security Presidential Directive (NSPD)-43 and Homeland Security Presidential Directive (HSPD)-14 to provide a focal point addressing rad/nuc detection. Title V of the Security and Accountability for Every Port Act of 2006 (SAFE Port Act of 2006, P.L. 109-347) directs DNDO to "serve as the primary entity of the United States Government (USG) to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop, or use an unauthorized nuclear explosive device, fissile material, or radiological material in the United States, and improve that system over time." DNDO is responsible for the acquisition of current and next generation of nuclear detection systems to maintain and expand the detection capability at all U.S. borders and U.S. interior. DNDO Systems Acquisitions provides for both the initial fielding of new equipment and ongoing recapitalization of existing equipment as it ages, needs upgrade, or replacement. DNDO is also responsible for integrating, advancing, and stewarding national nuclear forensics capabilities amongst the Departments of Defense, Energy, Justice, State, Homeland Security and the Intelligence Community.

DNDO has organized the majority of its detection-related development, test, evaluation, and acquisition programs into four mission areas. At the foundation of this mission space construct is the GNDA delineation of geographic layers (exterior, trans-border, interior, cross-cutting efforts), and

transportation pathways (air, land, and sea). DNDO works closely with Federal, State, and local entities with the primary operational responsibility for each pathway or within each layer to forge a more effective linkage between user requirements and technology and operational capability development efforts. The four mission areas to which DNDO has aligned activities, and the scope of activity addressed by each mission area, are described below:

The *land border* mission area addresses the development and deployment of systems designed to detect illicit rad/nuc materials entering the United States at and between land border ports of entry (POEs). This area includes official U.S. Customs and Border Protection (CBP) Ports of Entry (POE), and areas between the POEs manned by CBP's Office of Border Patrol. The Land Border environment includes all types of commercial conveyances and cargo, all personally-owned vehicles (POV), passenger buses, international freight rail, international passenger rail (including baggage), pedestrians (including baggage), as well as those making illegal entry into the U.S. at areas between the POEs.

The *aviation mission area* addresses all threat pathways involving civil air transport – both commercial operations and general aviation. Radiological and nuclear threats may be transported via air as a prelude to an attack elsewhere, or the actual attack involving a rad/nuc threat device may be executed and delivered directly by air. Rad/nuc detection capabilities address the scanning of air cargo, aviation passengers and their baggage, as well as the aircraft and crew.

The *maritime mission area* addresses the scanning of people, cargo, vessels, and other conveyances at seaports of entry and on seas, oceans, or other navigable waterways within U.S. Federal, State, local and tribal law enforcement jurisdiction. All vessels, including container ships, commercial fishing boats, tug boats, barges, commercial tour boats, cruise ships, tankers, bulk cargo ships, and privately owned/operated pleasure craft and sailboats, within the defined maritime domain may be exploited by terrorists to transport illicit rad/nuc material. The current state of the maritime architecture has primarily addressed portions of the pathway corresponding to containerized cargo and some elements of small vessel security. DNDO is prioritizing efforts towards addressing the gaps in maritime domain awareness, unresolved small vessel security countermeasures, and commercial non-container maritime cargo, in parallel with continued development of existing elements of the maritime architecture.

The *interior mission area* comprises all detection opportunities within U.S. borders across all pathways – land, air, and water. The risk to metropolitan urban areas and critical infrastructure is reduced through facilitated build out of relevant rad/nuc detection programs, which are coordinated with State and local partners

Further, in its *cross mission and infrastructure support* role, DNDO directly interfaces with Federal, State, and local stakeholders to gather rad/nuc technology and operational capability requirements and provide these requirements to the systems development and operations support activities within DNDO. Once these systems are deployed, DNDO provides ongoing, centralized alarm adjudication and information sharing services which allow for situational awareness of the GNDA across all domains and pathways with inputs from partners.

DNDO is committed to ongoing interaction with Federal, State, and local groups across the full range of systems development efforts, which include all necessary systems engineering and test and evaluation needs. In addition, DNDO develops training and exercises specific to user groups, their

operations, and relevant technologies. As a complement to the activities of these mission areas, DNDO will continue a full range of mission support efforts such as systems engineering, test and evaluation infrastructure, red team and net assessments, architecture studies, and operations support activities, including technical and secondary reachback.

Finally, DNDO also plays a key role in a mission that is linked to the GNDA – the identification of smuggling networks and those responsible for illicit trafficking in rad/nuc materials and for planned and actual attacks using rad/nuc weapons or materials. Specifically, DNDO is the USG focal point for the national technical nuclear forensics (NTNF) program, which supports the attribution of rad/nuc events in concert with intelligence and law enforcement information. DNDO has the responsibility for planning, advancing, integrating and stewarding nuclear forensics capabilities amongst DHS, DoD, DOE, DOJ, DOS, and ODNI.

Together, the GNDA and NTNF work to strengthen prevention and deterrence by detecting rad/nuc materials out of regulatory control, enabling the identification and closure of illicit rad/nuc trafficking networks, promoting nuclear security, disrupting planned attacks in the initial stages and potential follow-on attacks, and influencing potential adversaries by increasing their perceived risk of failure and the prospect of being held accountable for planned and executed attacks. The National Technical Nuclear Forensics Center (NTNFC) provides the technical capability to determine the origin and nature of nuclear or radiological attacks, interdicted source materials and devices to support national priorities for deterrence, attribution and prosecution. The Nuclear Forensics and Attribution Act (NFAA), signed into law on February 16, 2010, codified this mission within DNDO and included specific requirements to lead the development and implementation of the National Strategic Five-Year Plan for improving U.S. nuclear forensic and attribution capabilities, and to establish a National Nuclear Forensics Expertise Development Program to address the workforce pipeline needs in nuclear forensics.

The Research, Development, and Operations (RD&O) request identifies resources required for GNDA Development and the implementation of solutions to address vulnerabilities in the GNDA and all required mission and operations support activities.

## **B. Budget Activities:**

In the present budget environment, DNDO has prioritized its request from RD&O to Systems Acquisition to continue the recapitalization of Customs and Border Protection Radio-Isotope Identification Devices (RIID) to Next Generation devices to support the fielding of enhanced detection capability to U.S. borders. The presently-deployed RIIDs have known technical limitations and are approaching or past their anticipated service lives. Funding decreases, primarily from the Systems Development PPA, also provide support to acquire new capability for stand-off detection in the maritime domain.

## **Systems Engineering and Architecture**

All DNDO programs and mission areas require the implementation of a strong and disciplined systems engineering approach. Systems engineering is integral to program support, and includes areas such as risk management, configuration control, requirements development, and technical evaluation and

analysis. Systems engineering is also a key component of test and evaluation efforts, providing the bases for the development of test strategies and plans, generation of test requirements, selection of appropriate test venues and equipment, support of test implementation, and reporting of test results. Additionally the development of detection technology standards to set the goals of the technology performance is included in this program.

At the core of all DNDO activities is the systems architecture function: determining gaps and vulnerabilities and then formulating recommendations and plans to mitigate the same.

The Joint Annual Interagency Review of the GNDA provides a means to evaluate and document the GNDA. DNDO Systems Architecture efforts are focused on developing an enhanced GNDA, including both domestic and international components. The global architecture is a worldwide network of sensors, telecommunications, and personnel, with the supporting information exchanges, programs, and protocols that serve to detect, analyze, and report on rad/nuc materials that are out of regulatory control.

The GNDA Strategic Plan completed and approved in FY 2011, will be used as a framework for implementation planning and for smaller, more focused implementation plans such as the domestic GNDA implementation plan. The completion of the strategic plan also supports additional strategic analyses such as the GNDA Capabilities Based Assessment (CBA) which will complete its first spiral development in FY 2012. This CBA will be a structured accounting of current rad/nuc detection capabilities compared to envisioned capabilities and an assessment of how to bridge the difference.

Both the GNDA Strategic Plan and the Joint Annual Interagency Review serve to inform DNDO's budget process by providing, respectively, an overall strategic direction to USG (and DNDO) efforts on behalf of developing and implementing the GNDA and a examination of the progress of the GNDA. The Joint Annual Interagency Review for 2011 provided particular recommendations to aid in improving the GNDA by listing specific objectives and performance goals that describe what the USG, and in particular DNDO, must do to develop and implement the GNDA. This document also identifies metrics for a number of programs supporting the GNDA. In the future, these metrics will be evaluated in the context of the Strategic Plan's objectives and performance goals, thereby defining a more robust set of performance measures that collectively will gauge the effectiveness of GNDA implementation. This information will then be used in developing DNDO's budget.

Near-term priorities for Systems Engineering and Architecture are:

- Initiate a spiral development process to coordinate and synchronize the collaborative development of the GNDA products by the stakeholders such as the annual review, capabilities based assessment, and the radiological and nuclear threat risk assessment (RNTRA). This spiral process will build upon and formalize the collaborative process that was followed by the interagency stakeholders to successfully develop the GNDA Strategic Plan 2010, the GNDA Joint Interagency Annual Review 2011, and the Interagency Domestic Radiological/Nuclear Search Plan.
- Complete the first spiral of a Capabilities-Based Assessment (CBA) for the GNDA.
- Continually update the architecture gap and risk analyses models.
- Complete the 2012 Joint Annual Interagency Review.

- Complete the 2012 RNTRA update.
- Expand structured architecture studies to a broader range of potential pathways and identify solution options for enduring vulnerabilities in the GNDA.
- Incorporate Domain Awareness requirements into appropriate architecture analyses. Domain awareness remains an important GNDA priority. The ability to encounter, detect, and identify conveyances and people in land, air, and sea pathways in the trans-border layer is the foundation for nuclear detection. Incorporate information connectivity requirements into architecture analyses. Identify connectivity of nuclear detection capabilities, communications, and information/intelligence sharing among GNDA partners to enhance real-time tracking, trend analysis and threat evaluation, both domestically and worldwide.
- Publish Technical Capability Standards for backpack and vehicle mobile rad/nuc detection equipment.
- Develop a draft, threat-based technical Capability Standard for maritime rad/nuc detection systems.
- Continue to participate in the development of national and international standards for rad/nuc detection equipment.
- Develop and implement an Operating Instruction for the planning and execution of Systems Engineering Technical Reviews to assess program maturity and to assist the Program Manager in determining if the program is ready to proceed to the next stage of the DNDO Solutions Development Process.
- Establish a Risk Management Program to promulgate consistent, disciplined risk management principles across DNDO.
- Establish and execute a Configuration Management Program for DNDO to prescribe and carry out disciplined configuration management principles and procedures.

## **Systems Development**

DNDO Systems Development programs serve as the rad/nuc detection improvement component within DNDO, taking concepts for new detection systems from exploratory (or long-range) research to a level of maturity sufficient for production and deployment. DNDO meets its Systems Development responsibilities by applying two different yet complimentary approaches. In the more direct approach, DNDO identifies proven technology found suitable to meet various mission requirements applicable to current vulnerabilities identified in the GNDA, including identifying potential end uses. In these cases, Systems Development activities include engineering development and all developmental logistics elements associated with current as well as next-generation nuclear detection systems. The second approach is less direct. It is designed to foster initiatives within industry, academia, and the broader community of stakeholders to leverage their own programs and creativity toward advancements that will benefit the GNDA. By increasing communications, promoting competition, and enhancing the sharing of ideas among stakeholders DNDO is able to leverage normal market incentives in the development of next-generation products. The result is that commercial off the shelf (COTS) products are available for GNDA applications, at lower risk and cost to the Federal Government. The long-range research will be done through DNDO's transformational research activities. This research directly feeds the development activities detailed here. Current programs include advanced radiation portal monitors, human portable systems, and imaging techniques, as well as neutron detection technology replacement, among others.

In order to implement the requirements of the DHS Acquisition Directive 102-01 (AD 102-01) and improve overall program oversight, DNDO has implemented and continues to improve the Solution Development Process. The process includes foundational guidelines for long term plans, stage requirements and stage gates for program decision phases. This process provides a structured mechanism for leadership to initiate programs and objectives; to conduct periodic reviews and evaluate programs against approved objectives and milestones. As this process matures it will continue to provide insights to health of DNDO programs toward meeting their cost, schedule, and performance objectives. Improvements will increase effectiveness in linking program contributions to filling gaps in the GNDA and, ultimately, reduction of risk to nuclear terrorism.

DNDO is promoting several opportunities to further develop rad/nuc detection capabilities and operations at the State and local level. DNDO's first Rad/Nuc Challenge, planned for FY 2012 will provide a competition within the rad/nuc detection community, and will include industry demonstrations and information exchange forums. Expos, trade shows, and competitions (as in this context) have been shown to provide a cost effective way to foster and sustain communication with many members of a community and advance development in the field in a relatively short amount of time. Hosting the Rad/Nuc Challenge will move DNDO toward a position of prominence, recognized leadership, and excellence necessary for the effective and efficient accomplishment of its mission.

Near-term priorities for Systems Development are:

- Advance the technical maturity of emerging technologies to passively detect rad/nuc threats from a stand-off distance.
- Development and evaluation of boat-mounted rad/nuc detection technologies to address the "detection at sea" mission.
- Development of non-Helium-3 ( $^3\text{He}$ ) based neutron detectors.
- Analysis of operational needs of domestic Airports of Entry (APOEs) sites, with a focus on inbound international air cargo, and identify potential solution options.
- Improve rad/nuc systems' algorithm performance for detection and identification of radiation.
- Drive improvements to human portable nuclear detection equipment through a commercial first approach.
- Complete Field Validation Testing of selected improvements to deployed PVT solutions.

### **Transformational Research and Development**

DNDO established a transformational research and development (R&D) program to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of rad/nuc detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to develop products, and teaming among them is encouraged. Transformational R&D is carried out within three major programs: Advanced Technology Demonstrations (ATD), Exploratory

Research Program (ER) Program, and the Academic Research Initiative (ARI). Maintaining a robust research and development program is key to developing and delivering new technologies that are crucial to countering the threat of nuclear terrorism.

The ATD program builds on technology concepts previously demonstrated under the ER Program, or equivalent. Through the ATD, technology concepts are developed into Performance Test Units (PTU) that are capable of providing reliable and scalable performance measurements in a challenging and realistic simulated operational environment. Through this technology characterization, sufficient understanding of the technology potential is obtained to inform a Cost-Benefit Analysis (CBA) for the transition of the PTU technology to a Government acquisition program or to commercial system development.

The ER Program consists of innovative, high-risk, early-stage, new ideas that can make a transformational contribution to the DNDO mission of reducing the risk of nuclear terrorism. Specifically, the ER Program focuses on potential techniques for closing gaps in the GNDA and substantially improving the performance or reducing the cost of radiological/nuclear detection capabilities. Projects cover all major technical areas including materials development, passive detection techniques, neutron detection /  $^3\text{He}$  replacements, shielded Special Nuclear Material (SNM) detection, modeling and algorithms, and nuclear forensics.

The ARI is a joint National Science Foundation (NSF) and DNDO program established through a formal Memorandum of Understanding (MOU) in January 2007 to conduct basic and long-term research to stimulate innovation across many radiation detection sectors while augmenting the ER Program and supporting the DNDO research goals. The ARI has the additional goal to develop and train the next generation of researchers in nuclear detection technology.

Near-term priorities for Transformational Research and Development are:

- Initiate at least one new Advanced Technology Demonstration (ATD) every year as programs build on past success. Continue to initiate one ATD per year with a performance period of two to three years per ATD with transitions throughout FY 2012 and FY 2013.
- Maintaining a robust rad/nuc ER program by reviewing projects each year, with an emphasis on culling the less-promising efforts while initiating new ones. A strong ER program which explores innovative, high-risk, early-stage, new ideas can make a transformational contribution to the DNDO mission of reducing the risk of nuclear terrorism.
- The ARI is most effective when supported through continuous and constant funding. Continue the ARI to engage the academic community in DNDO research goals, building a community dedicated to solving long-term, high-risk research issues and to develop the next generation of researchers in nuclear detection technology.

### **Assessments**

The DNDO capability development process is anchored by a critical assessment of technologies as they are developed, deployed and operated, as well as a continual assessment of the GNDA itself. Development and acquisition programs are supported by a rigorous and objective test and evaluation (T&E) program to characterize technologies and systems to understand technical performance, operational effectiveness, and system limitations. Red teaming deepens our understanding of

adversary capabilities and presents those adversarial-based capabilities to Federal, State, local, and tribal operations in overt and covert tests. Overt and covert tests use inside information to intentionally introduce radioactive sources against operationally deployed defenses to assess the performance of fielded technology, training, and protocols. Adversarial-based assessments are from an outsiders' perspective without using any "inside" information of current or planned capabilities. Net assessments provide independent reviews to identify the effectiveness of planned and deployed programs and operations, which support the GNDA. Net assessments examines the various DNDO programs; reviews procedures and policies; identifies lessons learned; and conducts continuous independent assessments to determine value added against the global threat. Net assessments, with cooperation from Federal, State, local and tribal operational partners, are part of an on-going strategy to improve the overall probability of success in the rad/nuc mission.

In addition to the above activities, DNDO executes pilots – activities planned as operational tests or trials that serve as a tentative model for future development or deployment decisions. While DNDO's aforementioned test campaigns are intended to evaluate the technical performance of detection technologies in controlled environments, pilot programs allow DNDO to conduct limited deployments of new CONOPS or emerging rad/nuc detection technologies in existing operational environments, or alternately, existing CONOPS or technologies in new operational environments. These pilots provide an assessment of the processes, equipment, and/or systems to support nuclear detection mission objectives and customer/stakeholder requirements. Pilots offer the opportunity for DNDO to identify and leverage lessons learned that will reduce the risk of full scale deployments, enhance the impact of limited and competing resources, and expedite deployment of the GNDA, thereby increasing the Nation's ability to respond to the rad/nuc threat. In addition, DNDO has established Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER<sup>SM</sup>), a program to ensure independent and consistent testing of radiation detectors is performed by accredited laboratories against ANSI standards.

Near-term priorities for Assessments are:

- Maintain the expertise and resources to conduct up to 10 individual test campaigns.
- Design an Archival and Retrieval Management System (ARMS)/Report Analysis and Archive System (RAAS) interface with test and evaluation modeling methodologies, so that experimental data can support emerging modeling capabilities.
- Initiate GRaDER testing of the Technical Capability Standard for Handheld Instruments Used for the Detection and Identification of Radionuclides.
- Conduct overt and/or covert red team operations that test, at a minimum, the following GNDA nodes each year: official Ports of Entry (POE); commercial vehicle screening; transportation venue screening; federal, state, or local maritime operations; and special event screening. Number of test is highly dependent on the complexity of the venues chosen.
- At least once per fiscal year, red team operations should conduct covert tests designed to assess the entire adjudication process from the point of detection, through reachback, and hand off to appropriate federal response elements.
- Net Assessments' primary focus will be performing an assessment of the GNDA, including both intra and inter-agency partners.



- Provide assessment and Red Team findings and lessons learned for appropriate integration into the next Securing the Cities (STC) region. Continue to assess STC program in the New York City region and a second STC region.

## **Operations Support**

DNDO Operations Support Directorate (OSD) provides resources, strategies, and standards to Federal, State, and local stakeholders who are developing or enhancing their nuclear detection capabilities, especially as they relate to the GNDA. This support includes keeping stakeholders aware of relevant nuclear detection information or incidents, assisting in developing local or regional programs and integrating those programs' interactions with the GNDA, guiding the development of CONOPS and standard operating procedures (SOPs), and developing training and exercise products to ingrain those procedures into day-to-day activities.

To accomplish this, operational support activities at DNDO are grouped into three basic functions:

**Securing the Cities (STC):** This activity seeks to assist stakeholders to prevent the successful deployment of a radiological/nuclear terrorist weapon against the major metropolitan areas in the United States by establishing sustainable capability among State, local and tribal agencies to detect and report unauthorized radiological/nuclear materials within their jurisdictions in support of the GNDA. STC utilizes Systems Acquisition funding for the program.

**Training, Exercising, and Assistance (to non-Tier 1 cities):** Training, exercising, and assistance (TE&A) for nuclear detection is provided to Federal, State, local and tribal agencies. The assistance can be part of establishing a startup nuclear detection program, working to enhance an existing program, or providing standards and materials for training and exercises. The efforts of the TE&A section are tied to the performance and organization of the existing rad/nuc detection programs within the Federal, State, or local jurisdiction or agency. Support activities are jointly planned with the agency or region requesting the assistance. The plan establishes the level of support appropriate to the program. TE&A materials and standards are provided to these agencies and regions to ensure consistent application of the processes, functional compatibility between agencies and regions, and integration at the Federal level. These services, combined with others, assist in building the domestic portion of the GNDA and assist in DNDO's mission of assuring an effective response to a rad/nuc event.

**Joint Analysis Center (JAC) (for analysis and sharing of information related to the GNDA):** The JAC works directly with State and local law enforcement, the Intelligence Community and other Federal partners to determine indicators of nuclear terrorism to disseminate this information to relevant decision makers. Additionally, OSD develops and maintains information sharing capabilities and analytical tools necessary to support the GNDA during all modes of operation across Federal, State, local, and tribal law enforcement.

DNDO works directly with law enforcement and other Federal partners to determine indicators of nuclear terrorism to recommend appropriate response, including interdiction. Additionally, DNDO develops and maintains information sharing capabilities and analytical tools necessary to support an integrated operating system to be used by Federal, State, local, and tribal law enforcement agencies, as

well as the larger intelligence and counterterrorism communities. DNDO rounds out its support to State and local entities through a training and exercise program tailored to the needs of the community.

More specifically, a centralized support capability is provided through the DNDO JAC, a 24/7 information and analysis function that provides for situational awareness of the deployed nuclear detection architecture, timely information reporting, and facilitation of technical support for alarm adjudication and resolution. The JAC relies on the national laboratory-based Secondary Reachback Program (SRB) to provide expert advice and analysis in support of detection operations, and on the Nuclear Assessment Program (NAP) to provide technical analysis related to nuclear incidents as well as foreign and domestic detection capabilities. With the release of the GNDA Strategic Plan, DNDO has refocused the technical expertise resident within NAP towards specific requirements of DNDO to include the development of classified annexes for architectural studies; creation of GNDA visualization tools; operations support activities and the ongoing development and execution of red team and assessment activities. Specifically, NAP provides technical advice and assistance to DNDO operations and the supporting elements of the GNDA. NAP assists DNDO in defining, monitoring, and updating the evolution of the GNDA.

The Information Sharing Program provides the necessary Enterprise and Data Architecture to enable our Federal, State, local and commercial partners to effectively share rad/nuc information. The Mission Critical Messaging (MCM) program provides the capability to implement automated sharing of situational awareness with our partners. As the programs mature, DNDO is consolidating them under the Operation Support PPA to enable and better align with the common objectives of other programs in the account.

Near term priorities for Operations Support are:

- Systematically build integrated radiation detection capabilities in the Interior layer of the GNDA, including information sharing mechanisms.
- Routinely gather, analyze and share rad/nuc informational products to ensure the Department and all its partners can conduct collaborative rad/nuc operations based on a common frame of reference.
- Ensure that detection events lead to an appropriate response by local or Federal law enforcement, fire and other public safety operations.
- Conduct engagements with State and local communities to increase awareness, partnerships, and capabilities.
- Expand existing foundational programs, such as training, exercises, and onsite program assistance to include a broader range of customers, evolving risks and vulnerabilities, technologies, and proven operational concepts.
- Operate, maintain, and enhance the JAC Collaborative Information System, as the government's capability to receive, analyze, store, and report on rad/nuc-related information.
- Creating the GNDA Information Exchange Architecture and begin implementation of key data exchange connections with selected Federal, State, and local partners to enable situational awareness and coordinated response to the rad/nuc threat.

## **National Technical Nuclear Forensics**

Technical nuclear forensics supports nuclear attribution – the identification of those responsible for planned or executed attacks using rad/nuc weapons or materials – when combined with intelligence and law enforcement information. Through its contribution to attribution, technical nuclear forensics strengthens U.S. defenses against nuclear threats by:

- Encouraging nations to ensure the security of their rad/nuc materials or weapons to help prevent their unwitting transfer to third parties through loss of control;
- Tracing the source of materials to help identify and close smuggling networks;
- Deterring nations from providing nuclear weapons or materials to terrorists;
- Disrupting terrorist plans in the initial stages;
- Informing national and international decisions should a plot be uncovered or an attack occur;
- Assisting efforts to prevent follow-on attacks; and,
- Helping to bring terrorists and their facilitators to justice.

The National Technical Nuclear Forensics Center (NTNFC), which serves as the USG focal point for the National Technical Nuclear Forensics (NTNF) program, was established within DNDO on October 1, 2006 and codified by NSPD-17/HSPD-4 (Annex IV) in July 2007. This Presidential Directive assigned roles and responsibilities to six Federal departments and agencies for developing and maintaining a comprehensive NTNF capability. DNDO was given two core missions. The first is to provide national-level integration, centralized planning, assessment and stewardship as the USG integrator for a nuclear forensics capability that must be ready, robust, and enduring. The second mission is to advance the capability to conduct forensics on rad/nuc materials prior to detonation materials which may have been illicitly trafficked and/or extracted from an interdicted weapon. The *Nuclear Forensics and Attribution Act* (NFAA) (P.L. 111-140), signed into law on February 16, 2010, further codified this two-tiered mission and mandated DNDO to lead the development and implementation of the National Nuclear Forensics Expertise Development Program (NNFEDP) and the National Strategic Five-Year Plan for Improving the Nuclear Forensics and Attribution Capabilities of the United States. DNDO is striving to appropriately resource and advance NTNF capabilities in order to support the U.S. declared commitment to hold fully accountable any State, terrorist group, or other non-State actor that enables terrorist efforts to obtain or use weapons of mass destruction.

DNDO staffs the NTNFC with DHS experts and detailees from partner departments, including DoD, DOE and DOJ/FBI, which provides a Supervisory Special Agent from the FBI Laboratory as the NTNFC Deputy Assistant Director. This team addresses the program integration and pre-detonation materials missions comprehensively, by organizing NTNFC's activities into three key work areas: 1) Operational Readiness, 2) Technology Advancement, and 3) Expertise Development.

The nuclear forensics Operational Readiness work area comprises activities that ensure the USG has robust jointly-developed plans that are regularly exercised and assessed, to assure preparedness for a nuclear attack or interdiction, immediately and without warning. NTNFC leads the nuclear forensics community in the implementation of the National Strategic Five-Year Plan and activities outlined therein, through the use of its well-established interagency forums. In addition, NTNFC leads the development and revision of foundational documentation, the organization and evaluation of interagency exercises, and the conduct of periodic capability assessments.

Due to the complexity of pre-detonation materials characteristics, NTNFC addresses Technology Advancement systematically, across the nuclear fuel cycle and the pre-detonation forensics phases of materials collection, analysis, and evaluation. NTNFC works with domestic and international partners to design and build programs that define the use of standardized methods for lab analyses, articulation of confidence in results, and practice of demonstrated competencies in measurements and evaluations. This strategy increases knowledge of the characteristics of domestic and foreign materials, signatures, and manufacturing processes – utilizing current and emerging techniques and tools tied to rigorous standards for forensics investigations.

Finally, the Expertise Development work area ensures that a sufficient population of highly qualified scientists is cultivated and sustained to provide the critical technical expertise that underpins the entire NTNF enterprise. DNDO plans to continue to expand the NNFEDP gradually, in step with the mission requirements and assessments of the supply and demand. The NTNFC will introduce three to four new Ph.D. scientists into the NF workforce annually as it advances toward the goal of adding at least 35 new scientists by 2018. These metrics are based on the recommendations of the expert Nuclear Forensics Science Panel and the American Association for the Advancement of Science (AAAS)/American Physical Society (APS) to stem the loss of qualified personnel and maintain baseline staffing levels. NTNFC reports on these metrics in the DHS GPRA, in which NNFEDP reporting is combined with TAR Academic Research Initiative (ARI) reporting to reflect comprehensive DNDO progress toward meeting its academic/expertise development-related goals.

The following near-term priorities for NTNFC are underpinned by Public Law 111-140, Presidential Directive, National Strategic Five-Year Plan, and National Academy recommendations:

- Address each of the strategic objectives for improvement of technical nuclear forensics, as described in the National Strategic Five-Year Plan.
- Advance the rigor and effectiveness of the interagency exercise program, as recommended by the National Academy of Sciences.
- Advance international cooperation in nuclear forensics best practices, exercising, and development of national libraries through collaboration with the IAEA, Global Initiative, Nuclear Security Summit, and other venues.
- By the end of FY 2017, develop analytical measurement methods for rad/nuc materials in the following categories: chemical form of the material; physical form of the material; concentration of major, minor, and trace elements; and age-dating.
- Develop a capability to process uranium and plutonium on a laboratory scale for the purposes of producing material of known provenance, which can be used to develop a predictive model for signature development.
- Produce nuclear forensic-specific Certified Reference Materials to validate methods used for characterizing materials.
- Continue to expand the NNFEDP gradually to meet the goal of adding at least 35 new Ph.D. scientists into the workforce by 2018.

**C. Budget Request Summary:**

The Domestic Nuclear Detection Office requests \$236.830 million in FY 2013 funding for Research, Development, and Operations.

## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:**  
Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Request  
(Dollars in Thousands)

Program Project Activity	FY 2011		FY 2012		FY 2013		Increase(+) or Decrease(-) for FY 2013					
	Actual Obligations		Enacted Budget Authority		Requested Budget Authority		Total Changes		Program Changes		Adjustments-to-Base	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Systems Engineering and Architecture	-	34,607	-	30,000	-	30,091	-	91	-	1,295	-	(1,204)
Systems Development	-	68,420	-	51,000	-	28,401	-	(22,599)	-	(21,496)	-	(1,103)
Transformational Research and Development	-	98,478	-	40,000	-	83,897	-	43,897	-	43,897	-	-
Assessments	-	40,799	-	38,000	-	33,198	-	(4,802)	-	(4,194)	-	(608)
Operations Support	-	32,656	-	33,000	-	35,679	-	2,679	-	3,290	-	(611)
National Technical Nuclear Forensics Center	-	23,032	-	23,000	-	25,564	-	2,564	-	4,463	-	(1,899)
<b>Total, Research, Development, and Operations:</b>	-	<b>297,992</b>	-	<b>215,000</b>	-	<b>236,830</b>	-	<b>21,830</b>	-	<b>27,255</b>	-	<b>(5,425)</b>
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	<b>297,992</b>	-	<b>215,000</b>	-	<b>236,830</b>	-	<b>21,830</b>	-	<b>27,255</b>	-	<b>(5,425)</b>
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	<b>297,992</b>	-	<b>215,000</b>	-	<b>236,830</b>	-	<b>21,830</b>	-	<b>27,255</b>	-	<b>(5,425)</b>

**III. Current Services Program Description by PPA**  
**Department of Homeland Security**  
**Domestic Nuclear Detection Office**  
**Research, Development, and Operations:**  
**Systems Engineering and Architecture**  
**Program Performance Justification**  
(Dollars in Thousands)

**PPA: Systems Engineering and Architecture**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>34,607</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>30,000</b>
2013 Adjustments-to-Base	-	-	(1,204)
<b>2013 Current Services</b>	-	-	<b>28,796</b>
2013 Program Change	-	-	1,295
<b>2013 Total Requested Budget Authority</b>	-	-	<b>30,091</b>
Total Change 2012 to 2013	-	-	91

DNDO requests \$30.091 million for this activity in FY 2013. DNDO has identified efficiency savings of \$1.204 million in FY 2013 by refining our approach to completing Capabilities Based Assessments, and modeling in support of the radiological and nuclear threat risk assessment (RNTRA).

**CURRENT SERVICES PROGRAM DESCRIPTION:**

DNDO Systems Engineering and Architecture Program develops, implements, and supports a disciplined systems engineering (SE) approach throughout DNDO and enhances the Global Nuclear Detection Architecture (GNDA), including both domestic and international components.

**QHSR Strategic Alignment - Systems Engineering and Architecture**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR) Mission 1, Preventing Terrorism and Enhancing Security
  - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
    - Objective 1.2.3: Control Movement of CBRN
    - Objective 1.2.4: Protection Against Hostile Use of CBRN

## SYSTEMS ENGINEERING

### *Description*

Application of sound systems engineering principals is the foundation for successful system development and acquisition programs. The Systems Engineering Process Integration (SEPI) program provides the independent review and assessment that is required to ensure that systems engineering principles are consistently applied across the multiple Systems Engineering efforts supporting various DNDO Directorates and Programs. SEPI will also provide for consistent policies, procedures, and execution of a disciplined configuration management program for all systems engineering products, common implementation of programmatic risk management principals, and development of multiple life-cycle cost estimates throughout the year. This project will also provide for the capability to conduct several Analysis of Alternatives (AoAs) or Alternative Analysis (AAs)<sup>2</sup> concurrently and in a uniform and defensible manner consistent with the Department's Acquisition Directive (AD) 102-01 and the Solutions Development Process. SEPI will also provide required independent technical reviews in support of the DNDO Lead Technical Authority as required by the DHS AD 102-01.

## Rad/Nuc Detection Standards

### *Description*

The SAFE Port Act of 2006 (PUBLIC LAW 109–347) requires that “*the Secretary, acting through the Director for Domestic Nuclear Detection and in collaboration with the National Institute of Standards and Technology, shall publish technical capability standards and recommended standard operating procedures for the use of nonintrusive imaging and radiation detection equipment in the United States.*” The Rad/Nuc Detection Standards program fulfills the U.S. Government responsibility for providing necessary support for the development and maintenance of standards for rad/nuc detection. This includes participating on the national and international standards committees developing consensus standards (ANSI and IEC) as well as leading the inter-agency teams developing threat-informed government unique technical capability standards. It should be noted that the process for developing consensus standards and technical capability standards is an iterative process that re-evaluates the requirements over time as the standards committee considers new information developed during standards validation, testing, and use by industry and end-users. It is anticipated that two – three standards will be under review revision or update in any given fiscal year. The specific goal for the planning year is to finalize and publish inter-agency approved Technical Capability Standards for backpack radiation detection systems and for vehicle mobile radiation detection stems, and a draft, threat-based Technical Capability Standard for aerial rad/nuc detection systems.

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<sup>2</sup> In accordance with “DHS Acquisition Instruction/Guidebook 102-01-001”, the AoA is an analytical comparison of alternatives for fulfilling the specific capability gaps/needs. The AoA explores these alternatives within practical performance, cost, schedule, and risk boundaries, covering DOTMLPF + R/G/S spectrum. An AA differs from an AoA since the former can be used when the preferred solution is already narrowed down to a specific materiel solution. An AA examines more detailed performance characteristics of various alternative ways to implement the materiel solution, and may be affected by cost and schedule constraints and trade-offs.



## **SYSTEMS ARCHITECTURE**

### **GNDA Development Program**

#### *Description*

The overarching goal of GNDA Development is to develop strategies for building out the GNDA. The GNDA is a worldwide network of sensors, telecommunications, and personnel, with the supporting information exchanges, programs, and protocols that serve to detect, analyze, and report on nuclear and radioactive materials that are out of regulatory control. The work of developing the GNDA is an intimate part of the Solution Development Process (SDP), initially feeding into Stage Zero, which is a quantitative analysis of the entire GNDA at the strategic and operational level, including a deliberate incorporation of validated end user and stakeholder needs, resulting in an initial prioritization of new preliminary mission needs statements among the existing portfolio of needs. This work then leads to a Capabilities-Based Assessment (CBA) to identify and prioritize risk-informed recommendations, over all mission areas, which include both solutions that feed into later stages of the SDP as well as identification of areas which require further study.

### **GNDA Development - GNDA-Wide Planning, Modeling, and Analysis Project**

#### *Description*

A nuclear detection architecture can help reduce the threat of nuclear terrorism and its consequences. Such an architecture provides the framework to integrate a comprehensive set of detection systems and the associated technical and non-technical resources and infrastructure to improve a nation's ability to detect and interdict rad/nuc threats. An effective Planning, Modeling and Analysis function is an important part of the strategic basis that drives effective implementation of enhanced detection.

At the core of all DNDO activities is the GNDA delineation of geographic layers (exterior, trans-border, interior, and crosscutting efforts) and transportation pathways (air, land, and sea). Strategic planning and evolving risk evaluations will culminate in an annual report that will provide both the status of current detection architecture capabilities as well as provide direction for further enhancements to detection capabilities across the architecture. Other annual activities include updating the GNDA Strategic Plan, and completing the GNDA Joint Annual Interagency Review, the next spiral of the Radiological/Nuclear Terrorism Risk Assessment (RNTRA), the annual DNDO Solution Development Process Stage Gate 0 Review, the next spiral of the Capabilities Based Assessment and the second spiral of the GNDA Architecture Spiral Development.

These activities are intended to reduce both the technical and programmatic risk of new efforts and enhance their integration and interoperability with the overall GNDA.

### **GNDA Development - International GNDA Studies and Engagement Project**

#### *Description*

International studies and analyses are performed to characterize the gaps, identify options, evaluate the advantages and disadvantages of alternative solutions, and formulate time-phased plans to reduce risks to the exterior layers of the GNDA. As a crosscutting function, ongoing development of the GNDA must involve analyses of all potential pathways, suggest technologies or programs to address any

identified vulnerabilities, and strive for stronger linkages at every point in the architecture. This includes performance of international geographical architectural analyses and investigation of key relationships with international partners to enhance national level detection capacity in their respective countries.

A significant portion of the development of a GNDA is incumbent on the sovereign decisions of foreign partners to enhance their own national and regional-level detection architectures and capacities. As such, country and regional architecture analyses must be done to characterize existing detection capabilities in order to identify potential areas for engagement/enhancements. Prioritization methodologies and engagement will be conducted under both bilateral discussions and arrangements as well as under the framework of existing international agreements (e.g., UNSCR 1540, Global Initiative to Combat Nuclear Terrorism) as well as existing institutions (e.g., International Atomic Energy Agency, World Customs Organization, Interpol, International Civil Aviation Organization, International Maritime Organization, etc.) as a means to bolster the GNDA.

Annual activities include conducting multiple “Global Initiative to Combat Nuclear Terrorism” workshops to facilitate the continued development of the best practices guides for “Planning and Organization” and “Planning and Organization” related to nuclear detection architecture development, conducting multiple GNDA Workshops for expanding GNDA capabilities within bi-lateral or multi-lateral constructs and ongoing bilateral and multilateral engagements with key foreign partners on nuclear detection architectures, to include the International Atomic Energy Agency, the Global Initiative to Combat Nuclear Terrorism and other partners. Additionally the program continues to support the Secretary of Homeland Security’s “Secure Supply Chain Initiative” and engage with organizations such as the World Customs Organization, International Civil Aviation Organization and International Maritime Organization to facilitate the integration of best practices for nuclear detection.

## **GNDA Development – Land Border GNDA Requirements Development Studies Project**

### *Description*

The GNDA Development Program consists of three continuing Projects: Development Studies, Non-POE Capabilities Based Assessments (CBA), and POE CBA. Through these projects, vulnerabilities in the existing GNDA will be determined and recommendations and plans formulated to develop an enhanced architecture that includes appropriate linkages with international partners, and across Federal, State, territorial, tribal and local agencies. These projects will focus on studies and architecture requirements, examining issues for official road POEs, rail POEs, land border checkpoints, and illicit traffic along the border in areas between all official land border POEs and land border checkpoints. These efforts support the work described in the Land Border Capabilities section.

### *Development Studies - Description*

DNDO develops time-phased strategies and plans for improving the probability of detecting and interdicting rad/nuc attacks. Plans are developed jointly with DNDO’s interagency partners and in close coordination with relevant DNDO offices. These plans are focused on analyzing and improving the GNDA through the development of specific architecture studies, Concept of Operations (CONOPS) analyses, detector modeling studies, and enterprise architecture support specific to land border issues. These studies typically will focus on specific programs, operating environments, modes

of transportation, and/or specific threats and will directly feed into and support the efforts of the Land Border CBAs identified below.

The global architecture comprises several key elements: a multi-layered structure of rad/nuc detection systems (deployed both domestically and overseas), a well-defined and carefully coordinated network of interrelationships among them, and a set of systems engineering based principles and guidelines governing the architecture's design and evolution over time.

Guided by the GNDA, DNDO provides support relative to the assessment and mitigation of threats in the land border, such as the development of specific architecture studies, CONOPS analyses, detector modeling studies, and enterprise architecture support that are specific to land border issues. As an example, an Alaska Regional Architectural Study will be performed during FY 2011 and FY 2012 to baseline the rad/nuc capabilities available in Alaska as input to a "quick look" CBA. In general, studies will be commissioned to identify and characterize trade-offs, risks, and costs before deciding on specific implementation paths. These preliminary studies are intended to reduce the technical and programmatic risk of new efforts and enhance their integration and interoperability with the overall GNDA.

#### *CBAs - Description*

The Non-POE CBA project will address the areas within the GNDA that are between official Land Border POEs. A CBA consists of two primary components:

- The functional area analysis where capabilities, tasks, resources and metrics are identified within the defined architecture; and,
- The functional needs analysis where gaps are identified through an analysis of capabilities which are modeled against particular threats and defined measures of effectiveness.

In addressing these Non-POEs, the project will provide gap summaries and recommendations that will be used by the Land Border Capabilities Program Non-POE Project to develop Mission Need Statements, Capability Development Plans, and other required documents in accordance with DHS Acquisition Management Directive 102-01.

In order to complete the two components of the CBA, a combination of approaches will be used including Subject Matter Expert (SME) elicitation, site visits, data collection, interviews, and modeling/simulation. Using these approaches, CBAs and studies will be conducted to:

- Develop and improve overall effectiveness of the Non-POE Land Border architecture;
- Analyze and identify gaps, vulnerabilities, and options; and,
- Formulate recommendations to mitigate shortcomings and strengthen capabilities development efforts and deployments.

#### *POE CBAs - Description*

The POE CBA project will address the areas within the GNDA at official Land Border POEs. In addressing these Land Border POEs, the project will provide gap summaries and recommendations that will be used by the Land Border Capabilities Program POE Project to develop documentation such as Mission Need Statements in accordance with DHS Acquisition Management Directive 102-01.

As with the Non-POE CBA Project, CBAs will be provided using a combination of approaches. These include SME elicitation, site visits, data collection, interviews, and modeling/simulation. Using these approaches, CBAs and studies will be conducted to:

- Develop and improve overall effectiveness of the POE Land Border architecture;
- Analyze and identify gaps, vulnerabilities, and options; and,
- Formulate recommendations to mitigate shortcomings and strengthen capabilities development efforts and deployments.

## **Land Border Capabilities**

### *Description*

The Land Border Capabilities Program is composed of three projects. Whereas GNDA Development – Land Border is focused on studies and requirements, this section is focused on conceptualizing and developing solutions and projects to fill those gaps and meet the identified requirements. It is the next step in developing capabilities. In performing these projects, DNDO will continue to strengthen its partnerships with representatives from Customs and Border Protection (CBP) Office of Field Operations (OFO), Office of Border Patrol (OBP), Office of Intelligence and Operations Coordination (OIOC), and Laboratories and Scientific Services (LSS) to further define requirements and identify and evaluate technology solutions. The POE Project addresses rad/nuc detection capabilities at official land ports of entry other than rail ports of entry. The OBP Checkpoint Fixed Detection Project and Non-POE Project address rad/nuc detection capabilities in areas between the official land ports of entry. The OBP Checkpoint Fixed Detection Project is focused on the 35 permanent checkpoint areas through which vehicular traffic travels. These checkpoints are not considered as part of the official land ports of entry. The Non-POE Project covers the vast area between the official land POEs not addressed by the OBP Checkpoint Fixed Detection Project.

### *OBP Checkpoint Fixed Detection - Description*

Within the GNDA there is a lack of deployed capabilities to address radiation and nuclear detection between official POEs. The *OBP Checkpoint Fixed Detection Project* will address rad/nuc detection for vehicles at 110 checkpoint lanes located at 35 permanent checkpoint areas.

Some initial capabilities have been deployed to OBP checkpoints through Phased Deployment Implementation Plan (PDIP), which formally ended in FY 2010. PDIP involved the evaluation of COTS detectors in both laboratory and operational environments, integration of these COTS detectors with existing CONOPS, and the purchase and deployment of those detectors found technically and operationally acceptable. The outcome of this phase was the fielding of Personal Radiation Detectors (PRDs) and Radioisotope Identification Devices (RIIDs) to Border Patrol Agents at checkpoints along the northern and southern borders of the United States. Procurement of this equipment is anticipated to be completed in FY 2012.

Activities are being performed within the Land Border Capabilities Program to address gaps not addressed by the aforementioned PRD and RIID deployment at OBP checkpoints. The deployment of rad/nuc detection capabilities at these locations must address potential impacts on traffic flow, fourth amendment issues and operational demands on OBP agents. An AoA is targeted for FY 2013 to

recommend proposed solutions to be implemented. Current assumptions are that the solutions selected will be commercially available and will not require Government Research & Development (R&D) funding. DNDO will seek to deploy solutions covering 50% of OBP Checkpoint lanes in the out-years.

#### *Non-POE - Description*

The Non-POE Project will address the lack of deployed capabilities to meet the GNDA goals to provide rad/nuc detection between official POEs and supplement the coverage provided by the OBP Check Point Fixed Detection capability.

Within the Land Border Capabilities Program, activities are being performed to address gaps associated with Non-POE locations. Addressing rad/nuc detection in these vast non-POE geographic areas has many major challenges. In these areas the probability of encounter is the major issue and the deployment of rad/nuc detection capabilities must be able to operate in extremely varied environments. An AoA for the Non-POE Project is planned for the future to recommend proposed solutions for implementation. Current assumptions are that the solution(s) identified will be commercially available and will not require Government R&D funding.

#### *POE - Description*

The POE project continues to develop time-phased strategies and plans for improving the probability of preventing and deterring rad/nuc attacks. Plans are developed jointly with DNDO's intra-agency and interagency partners and in close coordination among relevant DNDO offices. The time-phased aspect of the plans is important because it allows for the integration of current and near-term technologies and approaches, as well as longer-term options that may draw upon technologies that are currently in the R&D phase and not available for implementation for several years.

Efforts during FY 2013 and in the years following will continue to support analyses of detection strategies for the remaining vulnerabilities at Land Border POEs, as well as modeling and risk assessments focused on characterizing the threat and identifying opportunities for detection and interdiction at the border. A specific area of study moving forward will be an evaluation of the Land Border POE architecture and technology base. A study will assess the effectiveness of the existing rad/nuc prevention and deterrence capabilities currently at the Land Border POEs in light of new prevention and deterrence technologies on the horizon, updated operational approaches to prevent the smuggling of illicit rad/nuc materials, and the introduction of prevention/deterrence processes. Then, if warranted, technological, operational, and policy changes will be recommended to make rad/nuc prevention and deterrence efforts more effective and in-line with current approaches to the rad/nuc smuggling challenge. Beginning in FY 2013, an AA will be performed that evaluates options for replacing radiation portal monitors. As these units, which are deployed most heavily at Land POEs, approach the time period when equipment repair costs requirements due to aging could spike, a study to explore alternatives is prudent.

The Land Border POEs is addressing several major challenges to include the potential impacts on traffic flow and the operational and staffing demands on port personnel. Many capabilities have been deployed to these POE's (e.g., RPM's, RIID's, and PRD's); however, architecture and other studies will continue with a goal of identifying improved strategies and/or advanced technologies that would provide optimum POE detection capabilities.

## **GNDA Development – Interior GNDA Requirements Development Studies Project**

### *Description*

DNDO develops time-phased strategies and plans for improving the probability of detecting rad/nuc materials that are out of regulatory control. Plans are developed jointly with DNDO's interagency partners and in close coordination with relevant DNDO offices. These plans are focused on analyzing and improving the GNDA through the development of specific architecture studies, CONOPS analyses, detector modeling studies, and enterprise architecture support that are specific to interior issues. These studies will typically be focused on specific programs, operating environments, modes of transportation, and/or specific threats and will directly feed into and support the efforts of the Capabilities Based Assessments identified below.

Capabilities Based Assessments (CBA) will be conducted to develop and improve overall effectiveness of the interior architecture; analyze and identify gaps, vulnerabilities, and options; and formulate recommendations to mitigate shortcomings and strengthen capabilities development efforts and deployments. The CBA consists of two primary components: the functional area analysis where capabilities, tasks, resources and metrics are identified within the defined architecture; and the functional needs analysis where gaps are identified through an analysis of capabilities which are modeled against particular threats and defined measures of effectiveness. The Interior Regional CBA will provide gap summaries and recommendations regarding the regional layers of the interior architecture and will be used by interior programs to document Missions Needs Statements, Capability Development Plans, and other required documents in accordance with Acquisition Management Directive 102-01. The Interior Target / Target Vicinity CBA will perform similar tasks for the target/target vicinity portions of the interior architecture.

The annual planned study cycle includes:

- Interior Requirements Development Studies
- Interior Regional Capability Based Assessment
- Interior Target / Target Vicinity Capability Based Assessment

## **GNDA Development – Maritime GNDA Requirements Development Studies Project**

### *Description*

The Maritime GNDA Requirements Development Studies Program consists of conducting a series of studies of the baseline maritime pathways architecture. The objective is to assess nuclear detection capabilities, rad/nuc threats (materials, weapons, and conveyances), waterway/seaport vulnerabilities, options to mitigate these vulnerabilities, and recommendations for achieving the maximum risk reduction within the constraints of the available budget.

A CBA will be conducted to develop and improve overall effectiveness of the maritime architecture; analyze and identify gaps, vulnerabilities, and options; and formulate recommendations to mitigate shortcomings and strengthen capabilities development efforts and deployments. The CBA consists of two primary components; the functional area analysis where capabilities, tasks, resources and metrics are identified within the defined architecture, and the functional needs analysis where gaps are

identified through an analysis of capabilities which are modeled against particular threats and defined measures of effectiveness. The Maritime Capability Based Assessment CBA will provide gap summaries and recommendations regarding the layers of the maritime architecture and will be used to document mission needs statements, capability development plans, and other required documents in accordance with Acquisition Management Directive 102-01.

## **GND A Development – Aviation GND A Requirements Development Studies Project**

### *Description*

This program details the identification of aviation environments to inform architecture development planning. It provides input into the GND A Gap(s) / Problem(s), including IGA Non-Compliant Aircraft Vulnerability Analysis, Mobility/Agility and Deterrence, and Characterization of Specific International Regions of Interest. The studies produced will be of sufficient quality to identify gaps and produce mission needs statements.

### *General Aviation and Commercial Aviation Capabilities Based Assessment (CBA) – Description*

A CBA process will be executed to define gaps and inform prioritized solutions for the GND A with respect to the commercial aviation pathway. A set of scenarios currently under development will be used as the basis for validating capability needs. The CBA will provide recommendations for addressing the gaps with non-materiel and/or materiel approaches.

General aviation has a significant threat associated with a direct-to-target attack. The CBA targeted in this aviation pathway will consider both the domestic and international general aviation.

Commercial aviation has distinct scope and challenges differing from general aviation. The CBA will include consideration of deterrence factors due to the significant security apparatus already in place for commercial aviation. The defense in depth desired of the GND A requires that this assessment span the full expanse of commercial aviation, including that outside the United States. Anticipated solutions informed by this CBA will require coordination among USG agencies and have the potential to drive international outreach efforts.

### *Prioritized Targeted Regional Studies – Description*

A series of studies is planned which will concentrate analysis of the aviation environment within a regional level of interest.

Current studies of the aviation portion of the GND A span the entire international aviation environment. This scale is sufficient to highlight regions of interest or opportunity in development of the GND A, and target possibilities for policy development. However, a regional scale will be better suited to reveal details of effectiveness of security implementation at the scale of individual nations or even airports. This information is needed to effectively tailor individual outreach efforts and inform prioritization efforts.

**SUMMARY:** The table below assists in illustrating the crosswalk between specific projects and activities and the DNDO mission areas.

<b>PPA: SYSTEMS ENGINEERING AND ARCHITECTURE</b>						
<b>MISSION ALIGNMENT</b>						
	<b>Cross Mission Capability Development</b>	<b>Infrastructure and Support</b>	<b>Land Border</b>	<b>Interior</b>	<b>Maritime</b>	<b>Aviation</b>
<b>Systems Engineering</b>		X				
<b>Rad/Nuc Detection Standards</b>		X				
<b>SE Program Integration</b>		X				
<b>Systems Architecture</b>	X					
<b>GNDAs Development</b>	X					
<b>Land Border Mission</b>			X			
<b>Land Border Capabilities</b>			X			
<b>Interior Mission</b>				X		
<b>Maritime Mission</b>					X	
<b>Aviation Mission</b>						X
<b>Multi-Pathway Scanning Integration</b>						X
<b>QHSR ALIGNMENT</b>						
	<b>Goal</b>	<b>Obj.</b>	<b>Description</b>			
<b>Systems Engineering</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Systems Architecture</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Maritime PA</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			

*DHS QHSR Mission 1- Preventing Terrorism and Enhancing Security  
Goal 1.2 - Prevent Unauthorized Acquisition or Use of CBRN Materials and Capabilities*



**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Systems Development  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Systems Development**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>68,420</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>51,000</b>
2013 Adjustments-to-Base	-	-	(1,103)
<b>2013 Current Services</b>	-	-	<b>49,897</b>
2013 Program Change	-	-	(21,496)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>28,401</b>
Total Change 2012 to 2013	-	-	(22,599)

The Domestic Nuclear Detection Office (DNDO) requests \$28.401 million for this activity in FY 2013. DNDO has identified efficiency savings of \$1.103 million in FY 2013 through the implementation of the Commercial First approach for the development of classes of nuclear detection equipment. The strategy of the Commercial First approach is to promote industry development of nuclear detection equipment where there are sufficient market drivers to make the investment of development more feasible. These savings allowed DNDO to shift funding to improve and extend the life the current deployed fixed detectors and the acquisition of nuclear detection equipment to enhance front line capabilities.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The Department of Homeland Security (DHS) is responsible for ensuring that the Nation maintains a preeminent research and development (R&D) program to address user requirements in radiation detection science and technology. Long range radiological and nuclear (rad/nuc) basic research activities are conducted through the Transformational and Applied Research (TAR) activities. Consequently, DNDO has implemented a standard solutions development process (SDP) to build on these activities and to address technical requirements arising from gaps in operational capabilities and to meet mission requirements.

**QHSR Strategic Alignment - Systems Development**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR) Mission 1, Preventing Terrorism and Enhancing Security.

- Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities.
    - Objective 1.2.3: Control Movement of CBRN.
    - Objective 1.2.4: Protection Against Hostile Use of CBRN.
- Mission 2, Securing and Managing Our Borders.
- Goal 2.1: Effectively Control U.S. Air, Land, and Sea Borders.
    - Objective 2.1.1: Prevent illegal entry; protect against cross-border threats.

## **State & Local Initiatives – Rad/Nuc Challenge**

### *Description*

Background. The Domestic Nuclear Detection Office’s (DNDO) mission, as codified in the SAFE Port Act of 2006, National Security Presidential Directive-43, and Homeland Security Presidential Directive-14, points to numerous requirements that can best be met by positioning DNDO as an international center of excellence in the Rad/Nuc Detection community. Sponsorship of a Rad/Nuc Challenge is an effective and powerful method of moving DNDO toward a position of prominence, recognized leadership, and excellence necessary for the effective and efficient accomplishment of its mission.

Competitions in the form of challenges have proven to be a cost effective way to foster and sustain communication with many members of a community and advance technical developments in the field in a relatively short amount of time. In support of this, the GSA has recently created a new schedule specifically for challenges to make it easier to contract for services from approved challenge integrators. The GSA has also recently created a new website, [challenge.gov](http://challenge.gov), which provides a range of information about government challenges. Among other things the website lists current government challenges, many of which carry cash prizes through the America Completes Act.

DNDO plans to host the first Rad/Nuc Challenge in calendar 2012 in an effort to: improve and advance the rad/nuc detection capabilities of our Federal, State, local, industry and academia partners through increased awareness, cooperation and competition; expose industry and academia to Federal, State and local radiation detection requirements, helping to shape independent research and development programs and alert mission stakeholders to upcoming opportunities; provide an environment for networking within the rad/nuc community; and foster community-wide awareness of the current state-of-the-art of technology and best practices in the field.

Hosting the Rad/Nuc Challenge will be an effective and powerful method of advancing nuclear detection capabilities and maturing the Global Nuclear Detection Architecture (GNDA). It will also provide DNDO the opportunity showcase and promote the unique RND mission, and improve and expand DNDO’s standing among our RND partners and other stakeholders.

## **Human Portable Wide Area Search (HPWAS)**

### *Description*

The HPWAS program will address the mission need for more effective, efficient, and suitable purposeful searches performed to find rad/nuc material in large areas, such as large aircraft, medium to large-sized maritime vessels, open-air events, parking lots, and stadiums. A HPWAS capability is

appropriate for all environments in which rad/nuc detection is conducted, including air, land, and sea Ports of Entry (POEs), between POEs, the interior of the United States, and coastal waters. HPWAS systems will be used by Federal, State, local, and tribal authorities.

The program is subordinate to the Human Portable Radiological/Nuclear Detection System (HPRDS) program and addresses the need for improved Wide Area Search capability as detailed in the HPRDS Mission Needs Statement (MNS). HPWAS will replace existing backpack-sized and other similar rad/nuc detectors with more capable systems. Funding will be used to integrate and evaluate in an operational environment promising new technologies that are ready for transition to systems development, such as Non-<sup>3</sup>He Neutron Detection Alternatives for Backpacks and Intelligent Radiation Sensing System. The program will use a “commercial first” approach of defining and publishing requirements and relying upon industry to develop a solution based upon expected demand. Candidate HPWAS systems will be thoroughly tested in a range of operational environments and scenarios.

### **Human Portable Tripwire Program**

#### *Description*

The Human Portable Tripwire (HPT) program will increase the opportunity and likelihood of detecting rad/nuc material through constant, non-deliberate rad/nuc scans. HPT detection systems will be small and light enough to be worn by operators at all times and both easy to use and cost effective so they can be easily deployed to a large number of operators, increasing the opportunity for detection.

This HPT program focuses on tripwire detection capability, comprised of passive monitoring operations, not deliberate screening, intended to increase the opportunity and likelihood of detecting illicit material. Human portable tripwire detection systems used to perform passive monitoring should be considered standard equipment and worn by operators at all times. These systems should be wearable, easy to use, and cost effective so they can be easily deployed to a large number of operators to increase the opportunity for detection. Because the systems used in this role should be worn at all times, they may also function as Personal Protective Equipment (PPE), which provide personnel with warnings when exposed to potentially harmful levels of radiation.

The HPT was deferred because of ongoing technical challenges and perceived anticipated higher procurement costs. However, results of an HPT Industry Day indicated interest by industry to invest R&D funding into an HPT solution. Based on industry feedback the HPT program was initialized to move forward as a Commercial Fires initiative.

Due to current budget constraints, the CISNT program will be unfunded in FY 2013. The system development of this capability will be postponed and re-evaluated once funding becomes available.

### **Long Range Radiation Detection (LRRD)**

#### *Description*

The overarching goal of the Long Range Radiation Detection (LRRD) program is to determine if a passive long range rad/nuc detection system should be developed and fielded. To transition the technology to a systems development phase, it will be necessary to collect and validate user needs to address two of the most problematic constraints for passive detection and classification of radioactive

materials in the Interior (as well as in other mission areas): the need to detect rad/nuc materials at a large distance from the source and to quickly localize the source of the radiation

LRRD builds upon the capabilities demonstrated by the Stand-Off Detection Systems (SORDS) and Roadside Tracker technology demonstration projects conducted by TAR. The technology demonstrations produced an increase in passive stand-off detection capability for stationary source /moving detector and moving source/stationary detector scenarios.

Analysis of the underlying technology concluded that the LRRD program holds promise but that it is not mature enough to proceed to an acquisition without further development. Therefore, the program has been delayed for two years while a spiral development is conducted. The effort will be guided by operational requirements and concepts of operation based on State, local, and Federal stakeholder interactions and evaluation activities. Stakeholders will continue their involvement in the program and help inform the development efforts throughout the spiral.

### **Small Vessel Standoff Detection Program (SVSD)**

#### *Description*

The Small Vessel Standoff Detection (SVSD) program will develop and field a capability to provide standoff rad/nuc detection systems for scanning small vessels (less than 300 gross-tons). Currently, rad/nuc scanning of small vessels is accomplished by boarding the vessel and conducting an inspection with human portable systems. However, current and future force levels for USCG, CBP, and other Federal, State, and local partners are only capable of boarding a small fraction of the daily U.S. small vessel traffic. This program will allow maritime enforcement officers to increase rad/nuc scanning of small vessels by reducing the need to board each encountered vessel.

The program will initially develop a capability for scanning small vessels from maritime law enforcement vessels on the water (“boat-to-boat” scanning). Using information from previous operational testing of current COTS and government off-the-shelf (GOTS) standoff detection equipment in a maritime environment, the SVSD Program will inform the future development of CONOPS, tactics, techniques, and procedures as well as the development of a materiel capability to reduce the risk of a rad/nuc threat being transported or deployed by a small vessel.

#### *Boat-to-Boat Scanning – Description*

Analysis, selection, design, development, and testing of boat-to-boat systems are being conducted from FY 2010 - 2013, with acquisition and deployment of the systems from FY 2013 - 2015. Initial fielding plans include outfitting USCG and CBP Office of Air and Marine (OAM) patrol vessels for employment during routine maritime operations and periods of heightened maritime security.

#### *Phase II and III - Description*

Follow-on phases will address additional modes of encountering small vessels identified in the Mission Needs Statement, including: aircraft-to-boat (“aerial”) as well as maritime geographic chokepoints and maritime/port infrastructure (collectively referred to as “fixed”). Previous program planning included the development of aerial systems upon completion of boat-to-boat systems development and subsequently development of fixed detection systems. However, as to not pre-suppose technological maturity or a certain materiel solution, an Analysis of Alternatives (AoA) is planned for FY 2013 to

systematically determine the best alternative to develop in subsequent phases of the program and re-titled Phase II and Phase III. As a result, systems development of Phase II will be delayed one year

### **<sup>3</sup>He Shortage Mitigation Program**

#### *Description*

The initial focus of the <sup>3</sup>He Shortage Mitigation Program was on finding an alternative technology to replace the <sup>3</sup>He-based neutron detectors within radiation portal monitors (RPMs). The initial effort concentrated on RPMs because these are high priority systems, and RPMs used the largest amount of <sup>3</sup>He gas in all of DHS. Over the past few years, alternative technologies for RPMs have advanced sufficiently enough to change the focus to investigate alternative technologies for neutron detection for backpack radiation detection systems, which are used when performing wide area searches. This program has two projects: (1) The Government Sponsored Backpack and Handheld Test Campaign and (2) the <sup>3</sup>He Acquisition project. The first is directed at engaging with the commercial sector and Government-sponsored projects to assess alternative neutron detection technologies proposed for current backpack systems to fill the void until a more permanent solution is found. The focus of <sup>3</sup>He Acquisition is to procure 1,200 liters of <sup>3</sup>He each year to ensure DHS has the <sup>3</sup>He gas it needs to execute its mission during this transition period where alternative technologies are being investigated as well as to manage and distribute the <sup>3</sup>He gas supply.

A major element of this program is directed at engaging with the commercial sector and Government-sponsored projects to encourage development of and to assess alternative neutron detection technologies being proposed for current backpack systems to fill the void until a more permanent solution can be achieved through the Wide Area Search effort within DNDO. To compliment the FY 2012 test campaign of near term commercial backpacks with alternative technologies, the FY 2013 effort will evaluate Government-sponsored alternative neutron detectors under development (e.g., DNDO/TAR, DOE/National Nuclear Security Administration [NNSA] NA-22]) and DOD/Defense Threat Reduction Agency [DTRA]) to encourage and accelerate the commercialization of these detectors.

### **Multi-Pathway Scanning Integration**

#### *Description*

Aviation environments present unique and complex challenges for nuclear detection operations. While efforts have been made to characterize individual components of aviation pathways for nuclear detection purposes, greater understanding and consideration of broad aviation environments is required in order to maximize system effectiveness and efficiency. DNDO has initiated the Multi-Pathway Scanning Integration Program to support this approach. This program consists of four projects: (1) Domestic Airport Deployments; (2) Multi-Pathway Systems Evaluation; (3) Domestic General Aviation Systems Evaluation; and (4) Pre-arrival Systems Evaluation.

This approach aligns with the latest DNDO planning principles and strategies, considers the perspective of end user (airport/location and stakeholder, versus pathway), leverages current rad/nuc systems, and accounts for the deterrence provided by non rad/nuc security measures already in place. The approach examines the intersection of International Commercial Aviation (ICA) Pax/Bag, ICA Air Cargo, and International and Domestic General Aviation (GA) pathways including the commonality of

systems and processes that can be leveraged and shared. In addition to potentially increasing effectiveness against rad/nuc threats, the cumulative benefits gained from enhanced efficiencies across national and global operations has the potential to significantly reduce long-term burdens of system acquisition, maintenance, and operation. This effort includes analysis of operational needs and selection of potential solution options for these pathways; future efforts may initiate support for systems development and/or acquisition as appropriate.

#### *Pre-Arrival Systems Evaluation Strategic Alignment*

The Pre-Arrival Systems Evaluation (IGA) project strategically links to the following:

- National Security Presidential Directive 47/ Homeland Security Policy Directive 16 (NSPD-47/ HSPD-16) provide overarching guidance and authority for interagency cooperation for the protection of the homeland against future terrorist attacks involving the Air Domain, including IGA.
- The National Strategy for Aviation Security (NSAS) dated March 26, 2007, directs a comprehensive national effort to prevent hostile or illegal acts within the Air Domain, promote global economic stability, and protect legitimate aviation activities.
  - The NSAS has seven supporting plans including the Air Domain Surveillance and Intelligence Integration (ADSII) Plan dated March 26, 2007. The ADSII states, “*The Secretary of Homeland Security is responsible for closely coordinating the U.S. department and agency activities under the national aviation security program.*” ADSII resulted in a significant interagency effort recommending a detailed list of critical actions and implementation tasks to achieve a whole government solution.
- Direct-to-target threats present a particular vulnerability related to IGA. With regard to radiological and nuclear threats specifically, international air cargo (IGA) represents a vital part of the aviation pathway in the Global Nuclear Detection Architecture (GNDA).

#### *Domestic Airport Deployments - Description*

The Domestic Airport Deployment project will develop and field capabilities by optimizing combinations of mobile, fixed, and human portable rad/nuc detection systems for scanning international air cargo. These systems may also provide opportunities to enhance IGA rad/nuc detection operations. Currently, rad/nuc scanning of cargo and IGA is by conducting an inspection with human portable systems. With current and anticipated staffing, CBP will only be capable of scanning a small fraction of the daily inbound international air cargo using human portable systems alone. This program will provide systems that allow more rapid scanning of a much greater volume of air cargo, with potential dual use for enhancing IGA operations, reducing the burden of using hand-held equipment as primary scanning equipment in those environments.

To date, initial capabilities to scan air cargo for rad/nuc have been established at several air ports of entry (APOEs) to validate operational feasibility. Lessons will be drawn from those deployments and applied as appropriate to the future deployments of fixed or mobile systems.

Based on an alternatives analysis for deployment of fixed systems to be conducted in FY 2012, the program will initially deploy a limited number of fixed systems to APOEs with heavy volumes of international air cargo where chokepoints of cargo flows exist and fixed systems are operationally feasible.

Concurrently, analysis, selection, design, development, and testing of mobile/re-locatable systems will be conducted in FY 2012 and FY 2013, with possible continuation of development and potential acquisition and deployment of the systems following the FY 2013 work. Initial fielding plans include outfitting APOEs that receive large volumes of international air cargo where fixed portals are not a viable solution.

As a planning process, many of the measures for this project will be output-based (i.e. measurements of activities done by DNDO), but will ultimately improve the outcomes of programs operated by other entities (other Federal agencies, State and local) by providing these entities with the means to make better decisions about how to reduce the risk of a terrorist attack involving radiological material. One set of metrics will be the number of fixed and mobile/re-locatable rad/nuc detection systems acquired and deployed. Another key set of metrics will be the percent of total arriving international air cargo scanned with deployed systems. After fixed systems are deployed, approximately 40% of inbound international air cargo will be scanned upon arrival.

#### *Multi-Pathway Systems Evaluation - Description*

The Multi-Pathway Systems Evaluation project will involve interagency partners in analyzing currently deployed systems (technical, operational, and other) in commercial aviation pathways and determine where limited investments in technology, training, and/or CONOPS could yield meaningful enhancements to the GNDA. For example, computed tomography (CT) and other x-ray systems are currently deployed across aviation pathways, but are not typically used to search for rad/nuc materials. Coupling those systems with increased knowledge of rad/nuc threats, appropriate handheld detection equipment, and associated training and CONOPs could significantly increase the number of personnel involved in layered rad/nuc detection across aviation pathways. DNDO will work with TSA and other relevant partners in these efforts.

Some of the metrics that will be used to measure performance for the Multi-Pathway Systems Evaluation project include core SDP activities. Additionally, metrics on the number of RIIDs or other hand-held rad/nuc identification equipment acquired and deployed will be included. Other key metrics will address the number and percent of TSA sites with enhanced rad/nuc detection capabilities, and the percent of total domestic passenger flow that is covered by the deployed systems. Those metrics will be established upon refinement of operational alternatives and deployment configurations.

#### *Domestic General Aviation Systems Evaluation - Description*

The goal of the Domestic General Aviation Systems Evaluation project is to enhance capability of Federal, State, and local public safety organizations and applicable private organizations to secure domestic general aviation environments, and identify and respond to rad/nuc threats.

The following is the strategic approach for the Domestic General Aviation Systems Evaluation project:

- The Domestic General Aviation Systems Evaluation project is currently in SDP Initialization/ Stage 0 and plans to utilize Architecture capability based assessments and previously performed TSA studies to initiate Stage 1a in FY 2013.
- The MNS, P-CONOPS, CDP, ORD, and AoA will be developed with interagency partners, such as TSA, FAA, as well as applicable State, local, tribal, and private sector entities.

- The project will support programs (guidance/program assistance) for State and local agencies and the domestic general aviation community, and may lead to regulatory changes to enhance security in domestic general aviation environments.

As a planning process, many of the measures for this project will be output-based (i.e. measurements of activities done by DNDO), but will ultimately improve the outcomes of programs operated by other entities (other Federal agencies, State and local) by providing these entities with the means to make better decisions about how to reduce the risk of a terrorist attack involving radiological material. Some of the metrics that will be used to measure performance for the Domestic General Aviation Systems Evaluation project include core SDP activities. Additionally, metrics will be established to measure the number of planning, training and awareness programs that are developed for domestic GA and the number of agencies/individuals/communities that have received the training or information. Those metrics will be established upon refinement of operational alternatives/priorities and associated training/planning requirements. Metrics measuring the impact of any new regulations will also be established (for example, the number of registered aircraft subject to new security regulations).

#### *Pre-Arrival Systems Evaluation - Description*

This project seeks to enhance systems outside of the U.S. and the U.S. operating authority to prevent rad/nuc weapons and materials from being transported by aircraft into the country (thereby moving this threat away from U.S. borders), and to support enhancements to U.S. air domain awareness systems to detect non-compliant flights. The project includes points of departure for international general aviation, international air cargo, and commercial passengers as well as transit environments. Overseas general aviation and commercial environments have some important commonalities where joint/combined solutions can be leveraged, yet other distinct differences that will need to be addressed separately. Therefore, separate project activities will address the unique aspects of these environments, while maintaining synergy between activities through the solutions development process to ensure that efficiencies and effectiveness are maximized across those aviation pathways.

In an effort to maintain a level of uncertainty in the adversary, DNDO must continue to develop scanning solutions along the “compliant” portion of the IGA pathway, while simultaneously addressing non-compliant IGA issues with interagency partners. The investment will enable DNDO to begin working with stakeholders, including other DHS component organizations, the interagency, and foreign partners, to develop a mission needs statement (MNS) and continue participation on several interagency working groups. Interagency efforts will focus on support programs to assist international partners in designing and developing IGA security and rad/nuc scanning program, and may also result in new international agreements related to IGA security.

The funds requested in FY 2013 will enable DNDO to expand efforts with its stakeholders to address vulnerabilities in pre-arrival operational environments, with more extensive analyses and operational support activities in out-years. Interagency efforts will focus on support programs to assist international partners in designing and developing IGA security and rad/nuc scanning programs, and may also result in new/enhanced international agreements related to commercial aviation security. A metric to determine the effectiveness of the Pre-Arrival Systems Evaluation project will be to measure the number of foreign partners that incorporate DNDO-developed guidance at overseas points of departure.



## **Algorithm Improvement Program**

### *Description*

The Algorithm Improvement Program's (AIP) aim is to improve algorithm performance in Government-sponsored as well as commercial sector algorithms. Thus, the ultimate objective is to increase detection and identification speed and accuracy in the field for spectroscopic and non-spectroscopic, e.g., NaI and PolyVinyl Toluene (PVT) systems. Benchmark spectra will be identified and collected to capture the response needed in the field and to simultaneously develop and establish the infrastructure needed for scoring algorithms. The DHSIsotope ID project will continue support and development of DHSIsotopeID as a crucial tool needed for secondary reachback analysis.

The Algorithm Improvement Program has four projects: (1) Benchmark Define and Collection; (2) Benchmark Analysis and Evaluation; (3) Algorithm Test Bed (ATB) Management and Replay Scoring; and (4) DHSIsotopeID and Support and Development.

### *Benchmark Define and Collection - Description*

The Benchmark Define and Collection project will focus on identifying isotopes of concern, shielding variations expected in the field, detector materials of interest, detector electronics, statistics for the data, source strengths, data collection distances, and needed benchmark documentation requirements.

### *Benchmark Analysis and Evaluation - Description*

The Benchmark Analysis and Evaluation project will analyze proposed benchmark configurations prior to the data collection. After the data has been collected, an analysis will be made to ensure the spectrum can be used for algorithm development as well as to score algorithm performance. The project will continuously evaluate the proposed benchmarks for improvements or needed improvements to the approach.

Before and after the spectrum files are identified and collected, an analysis effort will be conducted to ensure the benchmarks are consistent with the conditions expected in the field and the collected spectrum file will help improve algorithm performance if included in the open and closed data sets. Spectra files will be replayed in an algorithm to ensure the file will improve detection and event analysis from the standpoint of improved isotope identification.

### *ATB Management and Replay Scoring - Description*

In the ATB Management and Replay Scoring project, Benchmark files collected for spectroscopic and non-spectroscopic detectors will be validated as being properly collected, in the correct data format, placed under configuration control, stored as either open or classified (e.g., FOUO or Secret), or closed data sets. Each organization will score the performance of their submitted algorithm (i.e., industry and Government) using the open data sets. The ATB will independently score the performance of any submitted algorithm by rescoring any vendor claims with the open data sets as well as to score the algorithm against the closed data set.

Spectra data files collected will be archived in a standardized data format, validated to be properly collected with all the ground truth associated with the spectrum file, replay tool defined, and the scoring criteria for algorithms to ensure all interested parties will have the information.

### *DHSIsotopeID Support and Development Project - Description*

The DHSIsotopeID Support and Development Project will support improvement of the leading secondary reachback analysis tool. It will improve isotope identification performance, range of applicable isotopes, and expand the algorithm capability for run time, low power processors, ease of use, and emerging new detector materials and detectors.

Annually improve and maintain under configuration control DHSIsotopeID to improve algorithm performance as needed and to expand the capability to address new detection materials and shielding variations needed to support the secondary reach back analyst.

## **Land Border Capabilities**

### *Description*

The Land Border Capabilities Program is composed of three projects. In performing these projects, DNDO will partner with representatives from Customs and Border Protection (CBP) Office of Field Operations (OFO), Office of Border Patrol (OBP), Office of Intelligence and Operations Coordination (OIOC), and Laboratories and Scientific Services (LSS) to further define requirements and identify and evaluate technology solutions. The Ports of Entry (POE) Project addresses rad/nuc detection capabilities at official land ports of entry other than rail ports of entry. The OBP Checkpoint Fixed Detection Project and Non-POE Project address rad/nuc detection capabilities in areas between the official land ports of entry. The OBP Checkpoint Fixed Detection Project is focused on the 35 permanent checkpoint areas through which vehicular traffic travels. These checkpoints are not considered as part of the official land ports of entry. The Non-POE Project covers the vast area between the official land POEs not addressed by the OBP Checkpoint Fixed Detection Project.

### *OBP Checkpoint Fixed Detection - Description*

Within the GNDA there is a lack of deployed capabilities to address radiation and nuclear detection between official POEs. The OBP Checkpoint Fixed Detection Project will address rad/nuc detection for vehicles at 110 checkpoint lanes located at 35 permanent checkpoint areas.

Some initial capabilities have been deployed to OBP checkpoints through the Phased Deployment Implementation Plan (PDIP), which formally ended in FY 2010. PDIP involved the evaluation of COTS detectors in both laboratory and operational environments, integration of these COTS detectors with existing CONOPS, and the purchase and deployment of those detectors found technically and operationally acceptable. The outcome of this phase was the fielding of Personal Radiation Detectors (PRDs) and Radio-Isotope Identification Devices (RIIDs) to Border Patrol Agents at checkpoints along the northern and southern borders of the United States. Procurement of this equipment is anticipated to be completed in FY 2012.

Activities are being performed within the Land Border Capabilities Program to address gaps not addressed by the aforementioned PRD and RIID deployment at OBP checkpoints. The deployment of rad/nuc detection capabilities at these locations must address potential impacts on traffic flow, fourth amendment issues and operational demands on OBP agents. An AoA is targeted for FY 2013 to recommend proposed solutions to be implemented. Current assumptions are that the solutions selected will be commercially available and will not require Government-led development.

### *Non-POE - Description*

The Non-POE Project will address the lack of deployed capabilities to meet the GNDA goals to provide rad/nuc detection between official POEs and supplement the coverage provided by the OBP Check Point Fixed Detection capability.

Within the Land Border Capabilities Program, activities are being performed to address gaps associated with Non-POE locations. Addressing rad/nuc detection in these vast non-POE geographic areas has many major challenges. In these areas the probability of encounter is the major issue and the deployment of rad/nuc detection capabilities must be able to operate in extremely varied environments. An AoA for the Non-POE Project is targeted for FY 2015 to recommend proposed solutions for implementation. Current assumptions are that the solution(s) identified will be commercially available and will not require Government R&D funding.

### *POE - Description*

The POE project continues to develop time-phased strategies and plans for improving the probability of preventing and deterring rad/nuc attacks. Plans are developed jointly with DNDO's intra-agency and interagency partners and in close coordination among relevant DNDO offices. The time-phased aspect of the plans is important because it allows for the integration of current and near-term technologies and approaches, as well as longer-term options that may draw upon technologies that are currently in the R&D phase and not available for implementation for several years.

Efforts during FY 2013 will continue to support analyses of detection strategies for the remaining vulnerabilities at Land Border POEs, as well as modeling and risk assessments focused on characterizing the threat and identifying opportunities for detection and interdiction at the border. A specific area of study will be an evaluation of the Land Border POE architecture and technology base. A study will assess the effectiveness of the existing rad/nuc prevention and deterrence capabilities currently at the Land Border POEs in light of new prevention and deterrence technologies on the horizon, updated operational approaches to prevent the smuggling of illicit rad/nuc materials, and the introduction of prevention/deterrence processes. Then, if warranted, technological, operational, and policy changes will be recommended to make rad/nuc prevention and deterrence efforts more effective and in-line with current approaches to the rad/nuc smuggling challenge. Starting in FY 2013, radiation portal monitors will be addressed. As these units, which are deployed most heavily at Land POEs, approach the time period when equipment repair costs requirements due to aging could spike, a study to explore alternatives is prudent.

The Land Border POEs is addressing several major challenges to include the potential impacts on traffic flow and the operational and staffing demands on port personnel. Many capabilities have been deployed to these POE's (e.g., RPM's, RIID's, and PRD's); however, architecture and other studies will continue with a goal of identifying improved strategies and/or advanced technologies that would provide optimum POE detection capabilities.

## **PVT Improvement Program**

### *Description*

The FY 2010 DHS Appropriations Act (P.L. 111-83) Explanatory Statement and Senate Report 111-31 created the PVT Improvement Program to develop improvements to operations and capabilities of currently deployed PVT radiation portal monitors (RPM). The program focuses on the development

and testing of prototype improvement candidates for deployed PVT systems. The two main areas of interest are algorithm and hardware/life extension improvement projects.

Many of the DHS Radiation Portal Monitors (RPM) are approaching 10-years in service. The RPM program began deployment of the current generation PVT Portal Monitors in 2003 and has deployed approximately 1,400 systems which represent a very significant dollar and material investment for DHS. DNDO has been studying the issue of how to extend the usefulness of this investment and develop the system to its full potential. The program investigates ideas and suggestions for improving the hardware and software to increase system performance and extend the service life.

**SUMMARY:** System Development projects and activities, in conjunction with transformational development R&D activities, maintain the Nation's preeminent research and development program. The following table illustrates the crosswalk between specific programs and the DNDO mission areas. It is clear that programs and activities have applicability to more than one mission area and are represented in a cross-cutting manner.

PPA: SYSTEMS DEVELOPMENT						
MISSION ALIGNMENT						
	Cross Mission Capability Development	Infrastructure and Support	Land Border	Interior	Maritime	Aviation
S&L Initiatives Rad/Nuc Challenge	X					
Human Portable Systems	X					
Cargo Imaging for Shielded Nuclear Threats	X					
Long-Range Radiation Detection	X					
International Rail			X			
On Dock Rail					X	
Small Vessel Standoff Detection					X	
<sup>3</sup> He Shortage Mitigation	X					
Multi-Pathway Scanning Integration						X
Algorithm Improvement		X				
Land Border Capabilities			X			
GNDAs Development – Aviation Requirement Studies						X
PVT Improvements	X					
QHSR ALIGNMENT						
	Goal	Obj.	Description			
S&L Initiatives Rad/Nuc Challenge	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Human Portable Systems	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Cargo Imaging for Shielded Nuclear Threats	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Long-Range Radiation Detection	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
International Rail	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
On Dock Rail	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Small Vessel Standoff Detection	2.1	2.1.1	Prevent illegal entry; protect against cross-border threats			
<sup>3</sup> He Shortage Mitigation	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Multi-Pathway Scanning Integration	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Algorithm Improvement	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Land Border Capabilities	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
GNDAs Development – Aviation Requirement Studies	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
PVT Improvements	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			

**DHS QHSR Mission 1- Preventing Terrorism and Enhancing Security**  
**Goal 1.2 - Prevent Unauthorized Acquisition or Use of CBRN Materials and Capabilities**  
**DHS QHSR Mission 2- Securing and Managing our Borders**  
**Goal 2.1 – Effectively Control U.S. Air, Land, and Sea Borders**

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Transformational Research and Development  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Transformational Research and Development**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>98,478</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>40,000</b>
2013 Adjustments-to-Base	-	-	-
<b>2013 Current Services</b>	-	-	<b>40,000</b>
2013 Program Change	-	-	43,897
<b>2013 Total Requested Budget Authority</b>	-	-	<b>83,897</b>
Total Change 2012 to 2013	-	-	43,897

The Domestic Nuclear Detection Office (DND) request \$83.897 million for this program activity in FY 2013. The level requested represents a healthy and robust research and development program.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

DNDO’s transformational research and development (R&D) program seeks to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of radiological/nuclear (rad/nuc) detection. Dramatic technological improvements include improvements in system effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors – government laboratories, academia, and private industry – encouraged to participate. This program takes advantage of the qualities and advantages of all three sectors to develop products. Teaming is encouraged across the sectors. Transformational R&D is carried out within three major programs: Advanced Technology Demonstration (ATD), Exploratory Research (ER), and the Academic Research Initiative (ARI). Each program is described in detail below.

**Strategic Alignment: Transformational and Applied Research**

- DHS Quadrennial Homeland Security Review (QHSR)

- Mission 1: Preventing Terrorism and Enhancing Security
  - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
    - Objective 1.2.3: Control Movement of CBRN
    - Objective 1.2.4: Protection Against Hostile Use of CBRN
- Maturing and Strengthening the Homeland Security Enterprise
  - Foster Innovative Approaches and Solutions Through Leading-Edge Science and Technology
    - Scientifically study threats and vulnerabilities
    - Develop innovative approaches and effective solutions

## Advanced Technology Demonstration Program

### *Description:*

The ATD program performs accelerated development, characterization, and demonstration of leading-edge technologies that address critical gaps in nuclear detection capabilities. It builds on technology concepts previously demonstrated under the ER program, research conducted by our interagency partners, or privately funded research. Through the ATD, technology concepts are developed into prototype systems called Performance Test Units (PTU) that are capable of providing reliable and scalable performance measurements in a challenging and realistic simulated operational environment. Through this technology characterization process, sufficient understanding of the technology potential is obtained to inform a Cost-Benefit Analysis (CBA) for the transition of the PTU technology to a Government acquisition program or to commercial system development. Contracts awarded under the ATD programs are typically executed in four distinct phases: preliminary design review (PDR), critical design review (CDR), characterization readiness review (CRR), and a Government characterization assessment. Historically, one ATD had been initiated each fiscal year. The ATD projects are discussed separately below:

- *Long Range Radiation Detection (LRRD) Project:* This demonstration seeks to enhance and assess performance of LRRD systems based on findings and observations from the LRRD Limited User Experiment (LUE) and Stand-off Radiation Detection System (SORDS) characterization events conducted in 2010 and 2011. Specifically, the effort will perform a detailed characterization of the Roadside Tracker (RST) and Target Linked Radiation Imaging (TRLI) technologies, and support algorithm development on these and the SORDS demonstration systems. RST and TRLI will enable advanced chokepoint monitoring without impacting the flow of commerce, providing a significant new capability to the GNDA. The RST and TRLI units were originally developed under the ER program, and were deemed ready for full ATD characterization. The SORDS units can support intelligence directed surge operation where surveillance or search of wide areas is required. This multi-faceted ATD will conclude in 2013.
- *Shielded Nuclear Alarm Resolution (SNAR) Project:* This project develops and characterizes advanced technologies required to resolve alarms and to detect special nuclear material (SNM) even when heavily shielded or masked. The project has two principal applications: 1) Dramatic performance enhancement to commercially or near commercially available x-ray non-intrusive inspection (NII) screening systems by integrating solutions directly into hardware and software to substantially reduce the number of manual inspections while increasing probability of SNM detection; and 2) Targeted and choke point screening in multiple venues, including vehicle

border crossings, checkpoints, rail, air cargo, and general aviation, with rapidly re-locatable inspection systems. Currently there are two SNAR Performance Test Units (PTUs) in development.

- *Intelligent Radiation Sensing System (IRSS)*: This project utilizes advanced data fusion algorithms to maximize performance of a group of independent sensors communicating through a flexible wireless network. IRSS leverages recent breakthroughs in small, efficient radiation detectors and information synthesis methods developed under various ER programs to enable improved detection and source localization capabilities and situational awareness in both monitoring and search operations. USCG boarding parties and security teams at special events could benefit from the networked system, which may include many different types of detectors. This system could increase sensitivity, expand surveillance area, locate threats faster, and detect and identify radiation sources more accurately compared to single detectors or multiple detached (non-networked) detectors.
- *Advanced Radiation Monitoring Device (ARMD) Project*: This project builds upon advances in new detection materials discovered under previous ER projects utilizing advanced scintillator materials and neutron detection techniques. Two materials of particular interest are strontium iodide (SrI<sub>2</sub>) and cesium lithium yttrium chloride (CLYC). SrI<sub>2</sub> has demonstrated exceptional performance as a gamma ray detector with excellent energy resolution and a potentially lower cost due to outstanding growth characteristics. CLYC has demonstrated excellent performance for detecting both gamma rays and neutrons. In addition, CLYC material provides a cost effective alternative to helium-3 neutron detectors. The photo-multiplier tube (PMT) replacements evaluated for this project are much more compact, rugged, and have lower power requirements and cost compared to traditional PMTs. This project combines these breakthroughs in new detection materials with both gamma and combined gamma/neutron detection capabilities to develop lower cost and greater efficiency hand-held detection system to ensure wider deployment of high performance equipment.
- *Aerial and Maritime Stand-off Detection (AMSD) Project*: This project develops stand-off radiation measurement systems for the detection of rad/nuc material from an airborne or maritime platform. These systems will be able to detect and locate point-like sources in a complex and dynamic background. These systems could be used in urban, maritime, and coastal environments, with a concept of operations more in line with law enforcement practices rather than past radiological mapping operations. The proposed systems will be deployable on rotary winged aircraft or an appropriate maritime vessel. The system will provide real time data on the presence, location, and isotope identification enabled by the fusing of radiation detection with other sensing modalities (e.g. multispectral imaging, GPS, altimetry, etc). Utilizing new materials, innovative packaging, and algorithm improvements, these systems will offer greater detection sensitivity, lower false alarms, and simultaneously provide a greater range of operation.
- *New Advanced Technology Demonstrations*: New ATD projects will be initiated on a yearly basis based on: 1) prioritized gaps in the Global Nuclear Detection Architecture and; 2) technological successes from the ER Program, the ARI, or other private or public research programs that support Item 1. Multiple research projects are being monitored for potential transition to an ATD. The following projects are key in upcoming technologies demonstrations:
  - The Mobile Radiation Imaging and Tracking System (MRITS) ATD project. This project will develop and characterize land-based radiation detection, identification, localization,



and tracking system by integrating into a single mobile platform the technology and the lessons learned from the Stand-Off Radiation Detection System (SORDS) ATD, the Roadside Tracker ER Program, and DNDO's Long Range Radiation Detection (LRRD) Limited Use Experiment (LUE). This device could be used in multiple applications including urban search, long range monitoring in between ports of entry, multi-lane vehicle inspection, mobile replacement for fixed portals, and special event monitoring.

- The Portable Advanced Neutron Detector (PAND) project will develop and characterize solid-state neutron detection technology to replace He-3 detectors commonly being used in pager and hand-held devices including DNDO's Human Portable Radiation Detection System (HPRDS) handheld detectors. This ATD will investigate several new promising technologies developed through the ER and ARI programs, which include but is not limited Li<sub>6</sub>/ZnS optical fiber scintillators, boron lined straw type gas tubes, and Li/B intrinsic semiconductor materials. This technology will enable rugged low cost neutron detection solutions enabling wide spread utilization.

## **Exploratory Research Program**

### *Description:*

The ER Program explores innovative, high-risk, early-stage technologies, concepts, and ideas that can make transformational contributions to support the GNDA and reduce the risk of nuclear terrorism. Specifically, the ER program researches technology and techniques that:

- 1) Address capability gaps and weaknesses in the GNDA, with emphasis on radiological and nuclear detection;
- 2) Provide substantial performance improvement or cost reduction of rad/nuc detection capabilities; and,
- 3) Improve nuclear forensics capabilities.

Efforts under the ER program are intended to transform the basic building blocks of nuclear detection technology and supporting fields, with the research generally culminating in a proof of concept or proof of feasibility demonstration in a laboratory setting. Successful ER technologies and concepts may then transition to support subsequent ATD projects or spur commercial development. ER also provides performance modeling, improved algorithm development, and other support capabilities for the broader DNDO mission. The ER Program is divided into the six topic areas described below.

- *Materials Research and Other Supporting Technologies Project:* Advances radiation detection through focused research in sensor materials, front-end electronics, signal processing, modeling, and supporting technologies. Advances in one or more of these areas can provide new and improved capabilities to search and screen for rad/nuc materials of concern, improved identification of these materials, and reduced or simplified operational burden for end-users. Main categories of sensor materials include scintillators, semiconductors, 3D topologies, and materials which provide non-traditional mechanisms of gamma or neutron detection. Advances in one or more of these areas can impact a number of application spaces and venues. The main component of Other Supporting Technologies is Photomultiplier Tube (PMT) replacements. Elements of this project are noted below:

- *Advanced scintillator development* explores gamma-sensitive scintillator materials that most deployed radiation detection systems use (including large portal monitors, mobile, backpack, and hand-held detectors). This effort researches materials to 1) improve energy resolution and hence improve capabilities to discriminate threat from benign radiation sources; 2) increase available volume and other parameters to improve detector element sensitivity; and 3) decrease costs through improved fabrication techniques and lower-cost raw materials.
- *Advanced semiconductor development* investigates room temperature operating semiconductor materials to sense and characterize radiological threat materials. Current state-of-the-art high-performance semiconductors require cryogenic cooling, which significantly limits deployment of detector systems using these materials. This effort researches: 1) novel semiconductor materials or 2) economical production methods (less than \$1000/cm<sup>3</sup>) for high-performance semiconductor materials.
- *Photomultiplier tube (PMT) replacements/photon conversion* effort includes Solid State Photomultipliers (SSPMs) and other semiconductor-based and non-semiconductor-based technologies that convert scintillation photons into electrical signals, and hold the promise to provide photo-detectors which are far superior to traditional PMTs, due to their compact size, low voltage and power requirements, mechanical robustness, insensitivity to radio frequencies and magnetic fields and other environmental effects, non-vacuum requirements, and low cost.
- *Passive Detection Systems Project*: Develops next-generation neutron and gamma ray detection systems for a broad range of passive detection applications. Current deployed radiation portal monitors use large polyvinyl toluene (PVT) panels. The majority of current handheld radionuclide identification systems use sodium iodide (NaI) or cesium iodide (CsI) scintillators, or high-purity germanium or cadmium zinc telluride (CZT) semiconductor materials. Research in this program encompasses new materials integrated with advanced electronics, new detector configurations, and specialized algorithms to greatly improve passive sensing with emphasis on simultaneously improving detection sensitivity and specificity, while minimizing operational burdens associated with employment of these systems. Performance benefits to be derived from this research include longer range stand-off detection of threat materials, improved differentiation of threat materials from environmental background and benign sources of radioactivity, and decreased false alarms with greater confidence in alarm resolution.
- *Helium-3 Replacement Technologies and Fast Neutron Detection Project*: Explores near-term and longer-term alternatives to <sup>3</sup>He neutron detectors currently used in various radiation portal monitor (RPM) applications, as well as backpack, hand-held and personal radiation detection instruments. <sup>3</sup>He has been a vital isotope in instrumentation for neutron detection because of its high absorption cross-section for thermal neutron beams, excellent gamma rejection properties, and, until recently, it's historically low cost. However, there is now a generally-recognized, world-wide critical shortage of <sup>3</sup>He due to 1) increased demand by industries such as oil, medicine, basic science, defense, and security; and 2) decreased supply because the source of <sup>3</sup>He has been from the nuclear weapons program, which has reduced production over the years. Because the need for better and more efficient neutron detectors continues, an intensified and more focused research and development effort has gone into alternative technologies for <sup>3</sup>He neutron detectors. Particular focus was initially on portal applications since this requires the most <sup>3</sup>He, but increasing attention is being given to applications which are the next largest users of <sup>3</sup>He – backpacks and handhelds. This project investigates a range of materials, technologies,

and sensor systems, many of which are based on either boron-10 or lithium-6 as neutron capture agents. This project also explores novel techniques for fast neutron detection.

- *Detection of Shielded SNM Project:* Expand and improve detection technologies for highly shielded special nuclear material (SNM) for existing and new application scenarios. SNM produces a relatively weak passive signature that can be easily shielded, making passive detection difficult, if not impossible. Active Interrogation (AI) detection, which includes radiography, uses particle interrogation techniques to produce and/or enhance one or more unique signature from SNM, greatly improving detection performance. AI detection methods typically employ x-rays, gamma-rays, or neutrons to penetrate shielding and the normal cargo found in containers, vehicles, or trucks. Other techniques of interest use natural fields such as cosmic rays and gravity to penetrate large volumes and detect the presence of objects with high mass density such as metals with high atomic numbers found in shielding and in SNM.
- *Algorithms, Modeling, and Software Project:* Researches signal processing and signal analyses that improve detection and characterization of signals from threat objectives, and compensation, correction, or reduction of background noise to improve detector performance. Normally occurring background radiation affects detector sensitivity and limits current radiation detection technologies' performance. Further, temporal and spatially varying environmental background and nuisance sources (e.g., benign materials containing naturally occurring radioactive materials and patients experiencing nuclear medicine procedures) often lead to unacceptable false alarm rates. This project uses advanced statistical approaches to data analysis to include machine learning and use of correlated data to improve the sensitivity/specificity of nuclear detection and models detector performance. Research in this area also includes advanced abilities to model detector performance and support capability-based design of advanced detection concepts.
- *Forensics Data Collection and Analyses Project:* Develops analytical techniques for determining the origin and transit route of nuclear materials. Nuclear forensics analyzes pre-detonation materials and supports analysis of post-detonation materials. These analyses inform and support attribution and response decision-making. Laboratory analysis determines physical, chemical, radiological, or morphological properties of sample material or debris. Analytical results help determine specific processing the material underwent, geographic origins, transport pathways, and intended use of the materials.

New Exploratory Research activities are initiated through a yearly Broad Agency Announcement (BAA) for industry and a Call for Proposals (CFP) for National and Government Laboratories. Topics areas for this research are defined from prioritized gaps in the Global Nuclear Detection Architecture, technology needs defined by DNDO and other DHS Components, and remaining technology hurdles discovered in prior research.

### **Academic Research Initiative**

#### *Description:*

This program has two primary objectives: 1) Engage the academic community to advance fundamental knowledge for rad/nuc threat detection and related sciences with emphasis on fundamental research to solve long-term, high-risk challenges; and 2) Develop human capital for the nuclear science and engineering profession. Further, the program works to sustain a long-term commitment to basic research in this field and coordinates research efforts across the Federal government. In January 2007,

DNDO formally established the ARI through a Memorandum of Understanding with the National Science Foundation (NSF). NSF administers the proposal solicitation, evaluation, and grant award process as well as manages the first year of grant execution. The DHS Grants Office administers the subsequent years in conjunction with DNDO. Since inception, 57 grants have been awarded to over 45 academic institutions across the country. In FY 2011 the ARI program supported 39 grants and over 150 students. In addition to its focus on basic and fundamental radiation detection science, the ARI funds academic disciplines traditionally not associated with radiological/nuclear detection, such as social sciences and applied mathematics. The ARI program portfolio encompasses a number of research categories described below.

- *New Radiation Detector Materials Research:* Focuses on long-term research aimed at developing greatly improved radiation detector materials that are highly sensitive, selective, low cost, and rugged. Research to significantly improve the yield and performance of sensor materials beyond those presently available is needed with particular emphasis on the growth, processing, and characterization of new detection materials. This includes development and improvement of scintillator materials (e.g., faster response, higher light output, better linearity, and improvements in growth and fabrication) as well as semiconductor materials (e.g., reducing impurities, optimizing charge transport, allowing room temperature operation, and innovatively improving contacts and charge collection) with the goals of excellent efficiency and energy resolution at room temperature.
- *Novel Nuclear Detection System Concepts, Approaches, and Architectures Research:* Explores radically new approaches to threat detection, eventually leading to sensor or detection system concepts that are highly sensitive to rad/nuc signatures and selective in the ability to distinguish and locate these materials from naturally occurring background. This includes research into new detection system concepts, approaches, and architectures that can support detection of rad/nuc threats being transported via general aviation (non commercial aircraft), small maritime craft (under 300 tons), and/or across the expansive land borders between official Points of Entry. A large focus of this research is on fundamental understanding of how threat detection can be enabled through radiation imaging and modeling threat detection environments.
- *Alternative Neutron Detection (He3 Alternative) Technologies Research:* Investigates alternatives for neutron detection due to the scarcity of Helium-3 ( $^3\text{He}$ ). It also seeks to greatly improve neutron detection capabilities in general, with performance that would provide substantial improvements over existing  $^3\text{He}$  technologies. This includes development and improvement of neutron sensitive scintillator materials as well as semiconductor materials with the goals of excellent efficiency and excellent ability to discriminate neutrons from gamma-rays. Additionally, neutron detection systems that improve the directionality, localization, and/or imaging capabilities are also being investigated.
- *Shielded SNM Detection Technologies, Signatures, and Sources Research:* Investigations to overcome the challenge of detecting shielded SNM, principally through non-intrusive inspection (NII) approaches to air, land, and sea cargo scanning; vehicle scanning; and human portable scanning applications. Existing NII systems use radiography, computed tomography, spectral analysis and neutron-based assays. Fundamental research in this area addresses a range of studies to augment conventional NII approaches including: 1) transformational low-power, low weight, high-yield neutron and gamma ray production sources; 2) high-efficiency, fast-recovery, low cost spectral detectors; 3) novel inspection concepts and 4) investigations

into unique signatures and fundamental data associated with active detection methods such as nuclear resonance fluorescence (NRF).

- *Expert Systems, Networks, Algorithms, and Data Processing for Nuclear Detection Research:* Investigates innovative data processing and analysis techniques that will lead to significant performance improvements, including 1) accuracy of spectral analysis of gamma-ray sensor systems, 2) sensitivity and precision of detection systems, 3) sensor fusion (both radiation and other sensors), and 4) detector implementation and networking. The research includes significant simulation and modeling to provide a fundamental basis to support these new approaches.
- *Nuclear Forensics Technologies Research:* Investigates advanced analytical techniques used to determine the origin and transit route of pre-detonation nuclear materials. Research emphasis includes 1) identifying ways to improve techniques and methodologies (i.e., speed, accuracy, and precision in both existing and emerging methods) for the physical, chemical, radiological, or morphological analysis of nuclear or radioactive materials, including determining specific processing the material underwent, geographic origins, transport pathways, and intended use; 2) improving the separation or analysis of non-nuclear material associated with nuclear materials; and/or 3) improving the use of signatures to identify source materials in the nuclear fuel cycle.

The ARI program refreshes its research portfolio every year through an annual solicitation developed jointly between the NSF and DNDO, and administered by the NSF. Topic areas for this research solicitation are derived from a number of collaborative sessions with the NSF to determine areas of investigation that best support both DNDO and NSF goals. DNDO goals include addressing gaps in the Global Nuclear Detection Architecture, addressing fundamental technology needs defined by DNDO and other DHS Components, and focusing on technology challenges that are best addressed by the unique capabilities and skills of academia. NSF goals include supporting research that could have broad societal impact, and that is of the highest technical caliber.

<b>PPA: TRANSFORMATIONAL RESEARCH AND DEVELOPMENT</b>						
<b>MISSION ALIGNMENT</b>						
	<b>Cross Mission Capability Development</b>	<b>Infrastructure and Support</b>	<b>Land Border</b>	<b>Interior</b>	<b>Maritime</b>	<b>Aviation</b>
<b>Academic Research Initiative</b>	X					
<b>Exploratory Research Program</b>	X					
<b>Advanced Technology Demonstrations</b>	X					
<b>QHSR ALIGNMENT</b>						
	<b>Goal</b>	<b>Obj.</b>	<b>Description</b>			
<b>Academic Research Initiative</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Exploratory Research Program</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Advanced Technology Demonstrations</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			

*DHS QHSR Mission 1- Preventing Terrorism and Enhancing Security*  
*Goal 1.2 - Prevent Unauthorized Acquisition or Use of CBRN Materials and Capabilities*  
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**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Assessments  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Assessments**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>40,799</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>38,000</b>
2013 Adjustments-to-Base	-	-	(608)
<b>2013 Current Services</b>	-	-	<b>37,392</b>
2013 Program Change	-	-	(4,194)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>33,198</b>
Total Change 2012 to 2013	-	-	(4,802)

The Domestic Nuclear Detection Office (DNDO) requests \$33.198 million for this activity. DNDO has identified efficiency savings of \$0.608 million in FY 2013 through the review of test facility requirements and funding strategy for conducting Pilots and the Directed Test Program. DNDO will utilize test facilities located at the National Laboratories to simulate operational environments to achieve the necessary test results that were formerly conducted at actual operational sites.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The DNDO development and acquisition process is anchored by the assessment of DNDO mission-related technologies as they are developed, deployed, and implemented. DNDO continually assesses the global nuclear detection and reporting architecture through a variety of means, including test and evaluation (T&E) campaigns to characterize and collect performance data on commercially available and emerging technologies and systems; execution of pilots with operational agencies to evaluate concepts of operations (CONOPS); red team assessments to deepen the understanding of adversary capabilities; and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

**QHSR Strategic Alignment – Assessments**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR) Mission 1, Preventing Terrorism and Enhancing Security
  - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities

- Objective 1.2.1: Anticipate Emerging Threats
- Objective 1.2.3: Control Movement of CBRN
- Objective 1.2.4: Protection Against Hostile Use of CBRN

## **Test and Evaluation (T&E) Program**

### *Description*

DNDO technology development and acquisition programs are supported by test and evaluation (T&E) campaigns to characterize and assess the effectiveness of technologies under development as well as Commercial Off-The-Shelf (COTS) and/or Government Off-The-Shelf (GOTS) technologies or systems. The DNDO research, development, and acquisition process is anchored by rigorous assessments of mission related technologies as they are developed, deployed, and implemented. The testing of detection systems against special nuclear materials (SNM) in significant quantities and in realistic configurations is a key to assessment of radiological and nuclear (rad/nuc) systems. This type of testing requires highly specialized and secure testing facilities, such as the Radiological & Nuclear Countermeasures Test and Evaluation Complex (RNCTEC), and resourced with appropriate test instrumentation, equipment, radioactive sources, measurement devices/sensors, and test data collection/archiving systems. The T&E program is comprised of the following projects: T&E Facility Infrastructure, T&E Operations, Test Data Management, Algorithm Test Bed, Directed Testing, Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER<sup>SM</sup>) program, and Test Modeling and Simulation.

Evaluating the performance and operational utility of technologies developed or purchased to detect and identify nuclear weapons and special nuclear material is crucial to thwarting nuclear proliferation and terrorism, the primary goal of DNDO. The T&E Program maintains the core capability to test and evaluate rad/nuc detection technologies in support of DNDO's primary goal, including maintaining essential T&E assets, resources, and facilities and relationships with nuclear scientists who assist in the design and execution of test campaigns. Beyond testing facilities, test data collection systems and nuclear experts, a critical component of T&E is the nuclear material used in the testing of detectors, referred to as sources. Based on threat information, this program identifies the amount (ranges of quantities are listed under the official DOE Category I through IV) and configuration of test objects or sources used for testing, and then uses the DOE national labs to design and fabricate different sources in varying sizes. A T&E source program has been developed to build up the test sources inventory of four different Radiation Signature Training Devices (RSTD) and three plutonium (Pu) source sizes for testing.

## **T&E – Operations, Facilities, and Infrastructure**

### *Operations – Description*

Test and Evaluation capabilities support multiple DNDO program offices, generating and providing critical data to support design and development decisions and to support decision makers with analytical results necessary to make informed decisions. The credibility and timeliness of test products are paramount to advance technology development programs at key decision points and milestones. As such, the need for a repeatable, controlled process in the planning and conduct of testing is required to manage all testing complexities. This process is described and formalized in DNDO Operating Instruction -1 (OI-1) for Test Event Planning, and is used for all testing conducted by DNDO.

Testing strategies differ depending on the program strategy, system(s) to be tested and the questions to be answered through the testing. Based on the purpose and objective of the test, each test effort requires a unique and detailed plan to support its individual needs. Methods such as scientific experimentation, technical evaluations, operational relevance, and characterization must be applied appropriately. As such, individuals must be properly trained in the different aspects of testing and how to apply them while developing the experience to know when to apply them. The DNDO test leaders assemble the proper mix of experts needed to develop and execute timely and credible test and evaluation campaigns by leveraging the intellectual and manpower resources of other organizations, such as the National Institute of Standards and Technology (NIST), the National Laboratories and other Federal agencies.

#### *Facilities and Infrastructure - Description*

Conducting rad/nuc detection systems testing has been accomplished at several locations including the RNCTEC, the primary DNDO test center located at the Nevada National Security Site (N2S2), as well as the Rail Test Center (RTC) at the Port of Tacoma, and various national laboratory facilities such as Pacific Northwest, Los Alamos, Oak Ridge, and Savannah River National Laboratories. DNDO has invested substantial resources in establishing RNCTEC, and intends to leverage this investment to the maximum extent possible by encouraging its use by other agencies with similar needs.

Testing of rad/nuc systems poses many challenges to classic T&E practices due to issues such as nuclear material handling regulations, health and safety of personnel, and security. Compared to other government programs, the challenges for rad/nuc systems testing involve specialized facilities with uniquely qualified experts. In order to enhance the robustness and operational relevance of testing, DNDO has utilized a test center at the Port of Tacoma and has performed system data collections at other ports of entry. Reflecting the need to prioritize infrastructure expenses to match program needs the RTC at the Port of Tacoma, Washington will not be funded in FY 2013. If needed, DNDO will utilize testing capabilities at the national laboratories or at RNCTEC.

Rad/nuc systems require specialized equipment to measure results and collect the necessary data to conduct credible testing with repeatable results. In addition, forecasting the needs of developmental and research systems is vital to maintain state of the art facilities. Included in this outfitting is the special consideration of fabricated SNM sources which represent threat articles and configurations.

### **T&E – Test Data Management**

#### *Description*

This project focuses on the collection, verification and validation, analysis, reporting and archiving of test data collected during DNDO test campaigns as well as the collection of similar test reports by other agencies. There are three data management systems included in the Test Data Management program: the Archive and Retrieval Management System (ARMS), the Report Analysis and Archive System (RAAS), designing and/or maintaining test data collection software.

The Archive and Retrieval Management System (ARMS) is a repository that will store and retrieve all T&E data for every DNDO system under test. This includes all test data associated with every DNDO test including spectra, scenarios, sources, test plans, and reports. The fundamental need for this system



is derived from the requirement for a centrally controlled repository of verified data sets, traceable distribution of DNDO data as requests are made to perform additional analysis with the test results, document ground truth-based detector response characteristics for all systems under every test, and retrievable test data for independent audit report recommendations.

RAAS was developed to store and retrieve test reports containing evaluations of radiation detection and radiography systems from various agencies such as DHS, DOD (Defense Threat Reduction Agency), Department of Energy National Laboratories, and others. These agencies have sponsored and/or conducted studies, evaluations and tests on equipment currently in their inventories and deployed for the detection, localization and identification of SNM and other radioactive materials. This repository of test reports is made available to all appropriate organizations with an interest in rad/nuc detection and radiography equipment performance. There are approximately 40 active users of this system that can access approximately 700 reports in 14 classes of technologies.

ARMS and RAAS are linked efforts. Links to ARMS are created in the RAAS system to allow the user to access the data supporting the report for a more cost effective approach, leveraging similar assets for both projects.

The Data Collection Systems (DCS), which uses a client-server software architecture model, is a highly configurable test data management system that is customizable for each specific test event. The baseline DCS software will require continued development to keep pace with the new technologies and operational environments being considered by DNDO programs.

## **T&E – Algorithm Test Bed**

### *Description*

Radiation detectors utilize algorithms to alert users of the presence of radioactive material. For some instruments, these algorithms can also identify and classify the type of material that is detected, such as medical isotopes. In short, algorithms interpret the collected data and determine the response of the detector whether it be to alarm or identify radioactive material. The sophistication of algorithms varies between radiation detectors; therefore it is important to understand the capabilities and limitations of algorithms utilized in a variety of different radiation detectors.

To this end, DNDO needs the capability to evaluate the baseline performance of detector algorithms; and compare new and existing detector algorithms against standardized sets of both modeled and measured threats in a virtual environment. These modeled results can be used to significantly augment the physical tests performed by DNDO to help improve current algorithms and map out the limits of performance for existing algorithms. DNDO's primary resource for performing these types of computational studies is the Algorithm Test bed (ATB). Additionally, this program is designed to integrate with the parallel Algorithm Improvement Program (AIP). ATB will provide an evaluation capability for the algorithms developed under AIP.

The ATB provides an avenue for performing algorithmic studies, which can supplement physical testing that is significantly more expensive, and often limited in what measurement configurations can be evaluated due to time, resource, and budgetary constraints. More specifically, some of the analytical studies that can be investigated at the ATB include threat injection studies, receiver operator

characteristic (ROC) curve studies, degraded mode studies, and concept of operations studies. Currently, DNDO has developed and continues to develop the capability to evaluate a variety of different types of radiation detectors using the ATB including portal monitors (ASP and PVT-based systems), hand-held radioisotope identification devices, and mobile platform radiation detection systems. The ATB provides a mechanism to evaluate the effectiveness of improvements to algorithms against a standard reference set of measured threats.

## **T&E – Directed Testing**

### *Description*

DNDO routinely conducts test campaigns to evaluate the performance and operational relevance of rad/nuc equipment currently available. Such tests provide for the independent assessment of equipment to confirm vendor performance claims. State and local entities have repeatedly stated their need for these test results to inform them in the development of effective nuclear detection programs at the State, local, and tribal level using appropriate CONOPS.

State and local law enforcement and other public safety personnel are procuring nuclear detection technologies that are commercially available. Two primary issues associated with the use of nuclear detection technologies by law enforcement and public safety personnel are: 1) their effectiveness in detecting various radioactive sources, and 2) their performance in certain operationally relevant environments. DNDO has evaluated off-the-shelf or government available rad/nuc detection equipment in order to provide performance evaluation information on specific models and their potential operational utility. The following classes of detectors have been evaluated in the past under the Directed Test funding: personal radiation detectors, handheld, backpack and mobile detection systems, and radiation detection systems suitable for maritime environments and aerial platforms (testing conducted 4Q FY 2011 through 1Q FY 2012). In FY 2012, funding will be used to complete a collaborative test with the European Union on nine classes of rad/nuc technologies used in the U.S. as well as worldwide.

While the Directed Testing program has similar goals and users of the test data as the GRaDER program, Directed Testing is conducted by DNDO and is based on threat informed and mission related DHS performance requirements. Such requirements are based on the current nuclear threat. The test objectives therefore change for specific scenarios and over time.

## **T&E – Graduated Rad/Nuc Detector Evaluation and Reporting Program**

### *Description*

The Graduated Rad/Nuc Detector Evaluation and Reporting (GRaDER®) Program evaluates commercial off-the-shelf (COTS) rad/nuc detection equipment independently tested against national consensus standards adopted by the Department of Homeland Security and Federal government Technical Capability Standards (TCSs). The program was established to provide objective and reliable performance testing information to Federal, State and local stakeholders. The information will assist stakeholders in making Rad/Nuc detection equipment procurement decisions.

This program was established to provide a venue to test, evaluate, and share test results of rad/nuc detection equipment against standards utilizing competent and capable independent, third-party

laboratories. Manufacturers may have their products tested against these consensus standards through a fee-for-service transaction with independent laboratories that have been accredited under the National Institute of Standards and Technology (NIST) National Voluntary Laboratory Accreditation Program (NVLAP), or accepted by DNDO pending accreditation. DNDO, with the support of NIST, performs an independent evaluation of the test results, determines the level of compliance with the applicable standards using published criteria, and publishes the results of evaluation in the form of a GRaDER Evaluated Equipment List (GEEL), an instrument model evaluation, and a brief model evaluation summary. These evaluation products are distributed through controlled access electronic media to validated stakeholders that may include Federal, State, local, tribal and territorial agencies with law enforcement and first responder mission requirements.

The Rad/Nuc detector industry continues to develop new technologies and enhancements to existing technology. Federal, State, and local technology users need accurate and objective performance information of this equipment before purchasing. The pace of innovation and new products in the marketplace and the cost of testing makes it prohibitive for the Federal government to continually test to ensure equipment procured meets DHS adopted voluntary consensus standards.

DNDO is mandated by Congress (SAFE Port Act of 2006) to implement a test and evaluation program to provide effectiveness information and metrics for evaluating nuclear detection technology. The GRaDER program was established to meet this mandate. This testing framework can be accessed any time a vendor has a new technology and is ready to perform testing of the technology against standards, rather than waiting for a government-sponsored test.

The law also requires DHS to publish technical capability standards (or government unique standards). The GRaDER program will integrate these technical capability standards into the program as the standards are approved. The first of these technical capability standards was published in November, 2011. The first use of this technical capability standard in a GRaDER test is planned in 2013.

While the Directed Testing program has similar goals and users of the test data as the GRaDER program, Directed Testing is conducted by DNDO and is based on threat informed and mission related DHS performance requirements. In GRaDER, tests are performed against the consensus standards by NVLAP accredited or DNDO accepted laboratories and therefore provide a common basis of comparison of instruments for each category of equipment.

## **T&E – Test Modeling & Simulation**

### *Description*

Recent National Academies' evaluation of DNDO efforts have strongly recommended increased focus by DNDO on modeling and simulation. In response, DNDO is establishing a test Modeling and Simulation strategy to guide the various testing efforts supporting DNDO programs. The purpose of the effort is to leverage the substantial radiation detector test, evaluation and analysis work that has been done, and consider whether a guiding methodology or architecture can be developed, to improve the efficacy of testing moving forward. The use of modeling and simulation will enhance test design and extend DNDO's understanding of system performance beyond the conditions tested.

Through DNDO's international relationship with the IAEA, we are evaluating the Replicative performance Assessment of Spectroscopic Equipment (RASE) program developed by the IAEA, utilizes a semi-empirical approach to study the performance of radionuclide identification equipment. The approach is to acquire gamma-ray spectra (base spectra) with high statistical accuracy using the detector systems. The base spectra are then used as the source to generate sample spectra, using a Monte Carlo approach, with user defined parameters such as acquisition time, superposition of spectra, and distortions due to environmental effects. These sample spectra are then run through the manufacturers' algorithms to assess their effectiveness, allowing a rigorous analysis of their overall capability.

RASE, first and foremost, generates empirical spectral data of any sources or configuration thereof, under any set of conditions as a function of instrument and instrument types. This is a key component of any modeling and simulation effort. The scoring logic of the algorithms, which can be easily modified in RASE, includes cases for which the solution found by the vendors' algorithms were complete, conclusive and correct, inconclusive, incomplete, incorrect, incorrect and incomplete (see NSS1 scoring criteria).

RASE can then perform an integral analysis of the performance of an algorithm by replicating a number of spectra, feeding them to the vendors', or anyone's, algorithms and analyzing the results there from in terms of correct, partially correct, etc solutions. The framework can also provide a differential analysis where the responses of the algorithms are analyzed in terms of isotope and how often they turn out to be correctly identified or misidentified.

The RASE process can be of use by DNDO and has a result DNDO is entering into a partnership with the IAEA. Together we will improve usability of the existing program and add a time component to it. This will be the basis for a new approach to modeling the response of portals and also determining the effectiveness of detection and identification of moving sources in the operational environment. It is essentially an algorithm test bed based on a comparatively small number of measurements.

### **Red Team and Net Assessments (RTNA)**

RTNA is DNDO's primary means to independently assess the operational effectiveness and performance of DNDO programs and deployed rad/nuc detection capabilities at the Federal, State, local and tribal levels in support of the Global Nuclear Detection Architecture (GNDA).

RTNA is comprised of the following efforts:

#### *Red Team (RT) Division - Description*

RT employs two models in assessing the GNDA. Overt and covert tests use inside information to intentionally introduce radioactive sources against operationally deployed Federal, State, local, and tribal defenses to assess the performance of fielded technology, training, and protocols. Adversarial-based assessments are from an outsider's perspective without using any "inside" information of current or planned capabilities.

RT builds models that integrate validated lessons learned from overt and covert operations and assessments, intelligence estimates, expert elicitation, and workshops into probabilistic measures of the effect that implemented capabilities have on adversary decision making.

*Net Assessments (NA) Division - Description*

NA assesses the effectiveness of concepts of operations, protocols, training, technologies, and technical support for RPND programs and deployed capabilities. NA examines the various GNDA programs; reviews procedures and policies; identify lessons learned from all RTNA assessments; and conducts continuous independent assessments to determine value added against the global threat. These assessments provide DNDO Directorates with an analytical tool that affords independent evaluation of their programs and activities. The NA program, in cooperation with Federal, State, local and tribal operational partners, is part of an on-going strategy to improve the overall probability of success in the rad/nuc detection mission.

**SUMMARY:** The following table illustrates the crosswalk between specific projects and activities and the DNDO mission areas. Programs and activities have applicability to more than one mission area and are represented in a cross cutting manner.

PPA: ASSESSMENTS						
MISSION ALIGNMENT						
	Cross Mission Capability Development	Infrastructure and Support	Land Borders	Interior	Maritime	Aviation
Test & Evaluation (T&E) Program		X				
Operations, Facilities and Infrastructure		X				
Test Data Management		X				
Algorithm Test Bed		X				
Directed Testing		X				
GRaDER				X		
Test Modeling & Simulation		X				
RTNA		X				
QHSR ALIGNMENT						
	Goal	Obj.	Description			
Test & Evaluation (T&E) Program	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Operations, Facilities and Infrastructure	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Test Data Management	1.2	1.2.1 1.2.4	Anticipate Emerging Threats Protect Against Hostile Use of CBRN			
Algorithm Test Bed	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Directed Testing	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
GRaDER	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Test Modeling & Simulation	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
Red Team and Net Assessments	1.2	1.2.1 1.2.4	Anticipate Emerging Threats Protect Against Hostile Use of CBRN			

*DHS QHSR Mission 1- Preventing Terrorism and Enhancing Security  
Goal 1.2 - Prevent Unauthorized Acquisition or Use of CBRN Materials and Capabilities*

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Operations Support  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Operations Support**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>32,656</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>33,000</b>
2013 Adjustments-to-Base	-	-	(611)
<b>2013 Current Services</b>	-	-	<b>32,389</b>
2013 Program Change	-	-	3,290
<b>2013 Total Requested Budget Authority</b>	-	-	<b>35,679</b>
Total Change 2012 to 2013	-	-	2,679

The Domestic Nuclear Detection Office (DNDO) requests \$35.679 million for this program. DNDO has identified efficiency savings of \$0.611 million in FY 2013 through a review of the Nuclear Assessments Program (NAP). The savings from NAP were achieved by prioritizing the assessments and eliminating the efforts that did not provide direct support to DNDO.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Radiological and nuclear (rad/nuc) detection capability development and enhancement are not solely accomplished by technology deployments. All detection and interdiction efforts must be conducted in coordination with trained Federal, State, local, and tribal law enforcement agencies, as well as the larger intelligence and counterterrorism communities. Accordingly, while DNDO has initiated the capability enhancement and training and exercise functions, it is also responsible for developing the information sharing and analytical tools necessary to create a fully-integrated and common operating picture. Furthermore, DNDO establishes additional protocols and procedures to ensure that the detection of unauthorized nuclear explosive devices, fissile material or radiological material is promptly reported to the Secretaries of Defense, Homeland Security and Energy, the Attorney General, and other appropriate officials for appropriate action by law enforcement, military, emergency response, or other authorities.

DNDO must have the ability to integrate detection data and intelligence assessments in near real-time to develop information that enables an overall system and situational awareness. This requires DNDO to closely interact with the Intelligence Community (IC) as a developer of intelligence requirements and consumer of intelligence products, not as an intelligence collection agency. Conversely, DNDO

partners directly with the law enforcement community, which is the primary user of preventive radiation detection equipment in the domestic layer of the GNDA. This integrated approach to detection and information analysis provides a substantial improvement and efficiency in alarm resolution, threat assessments, data trend analysis, and, most importantly, overall probability of success in countering the threat of nuclear terrorism.

### **QHSR Strategic Alignment – Operations Support**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR) Mission 1, Preventing Terrorism and Enhancing Security
  - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
    - Objective 1.2.3: Control Movement of CBRN
    - Objective 1.2.4: Protection Against Hostile Use of CBRN

### **Joint Analysis Center (JAC)**

#### *Description*

The Joint Analysis Center (JAC) was established as an element of DNDO to provide a timely information sharing and analysis capability that monitors the status of and collecting information from both overseas and domestic elements of the GNDA. In other words, the JAC serves as the interagency coordination mechanism and central monitoring point for the GNDA, maintaining awareness of and for the GNDA – to include status of rad/nuc detection operations, visibility into the status of rad/nuc alarms, and awareness of rad/nuc-related incidents and events. To do so, the JAC coordinates adjudication of nuclear detection events (including Technical Reachback); analyzes intelligence and sensor information; facilitates technical support to Federal, State, and local authorities; and coordinates the government technical response to rad/nuc detection incidents. GNDA priorities for crosscutting and foundational capabilities include fully stand up and equip the JAC, which will receive detection information from as many sources as possible electronically, enhance communication and coordination mechanisms, and create a global situational analysis capability for monitoring radiological threats. Within the JAC program are two operational elements and an Information Technology (IT) system. Previous CJ characterizations of the JAC have described in terms of “JAC Operations” and “Secondary Reachback” capabilities. As the GNDA has been better defined during the past year, culminating in the publication of the GNDA Strategic Plan, we have found it useful to align JAC functions to new operational elements. Presently the operational elements are: JAC Information Sharing, maintaining a common operating picture for stakeholders throughout the GNDA; and Information Analysis, providing technical assistance, data mining, and trends analyses to stakeholders. The JAC relies on the national laboratory-based Secondary Reachback Program (SRB) to provide expert advice and analysis in support of detection operations, and on the Nuclear Assessment Program (NAP). The Joint Analysis Center Collaborative Information System (JACCIS) is the IT system that supports the overall JAC mission.

#### *JAC Information Sharing – Description*

JAC Information Sharing consists of three primary activities which combine to ensure a common operating picture across the GNDA and facilitate coordination between Federal, State, and local jurisdictions. The three activities are Information Product Development and Deployment, Enable



Operational Planning, Cross-jurisdictional Collaboration Support, and Information Product Development and Deployment generates packaged information on both a routine and on-demand basis and delivers them directly to stakeholders or publishes them on appropriate Community of Interest sites. Enable Operational Planning provides information support to GNDA stakeholders as they plan or prepare to conduct rad/nuc detection operations. Cross-jurisdictional Collaboration Support facilitates the timely delivery of pertinent information across the GNDA to appropriate stakeholders to ensure accurate and relevant awareness supporting ongoing operations. All three activities look across the GNDA including intelligence/law enforcement traffic, operational activity including exercises, training, and incident response, and serve as a mechanism with which partners submit and receive information pertinent to radiological nuclear terrorism prevention. The strategy for JAC Information Sharing includes use of existing processes and policies and sharing visibility of information with appropriate stakeholders.

#### *JAC Information Analysis– Description*

Information Analysis consists of SRB Adjudication Support and Data Fusion & Analysis. SRB is an essential component of the “U.S. Government Nuclear and Radiological Alarm Technical Adjudication and Resolution Process,” Annex 1 to NSPD-43/HSPD-14 (Domestic Nuclear Detection) and Annex 1 to PDD-41 (U.S. Policy on Improving Nuclear Material Security in Russia and the Other Newly Independent States), 15 May 2007. In coordination with the Department of Energy’s (DOE) National Nuclear Security Administration (NNSA), SRB provides 24/7 technical capability, at the National Level, to facilitate radiation detection alarm resolution and effectively transition to response operations if required. SRB is used when alarms can’t be resolved at the point of detection. Facilitated and coordinated by JAC program management, SRB provides support to Federal, State, local, tribal, and territorial stakeholders at the National Reachback Level including response to CBP’s Laboratories and Science Services (LSS).

To be accomplish this mission, the JAC ensures SRB maintains a strong foundation that includes: maintaining a qualified and trained expert workforce at the appropriate level and quantity, ensuring the reachback community has access and training on the best analytic tools, data fusion of multiple data sources to provide a most complete vision of the operational environment, and developing awareness within the nuclear detection community to enable alarm resolution at the lowest level possible. Data Fusion & Analysis ensures that stakeholders are armed with the most complete and relevant information, in addition to the spectral analysis support provided by SRB, to ensure timely adjudication of detections in keeping with the operational concepts prescribed by the GNDA. Data Fusion & Analysis integrates broader knowledge of the operational situation with data derived from a detection event to help set adjudication and post adjudication action priorities.

#### *JAC – Secondary Reachback Program Description*

SRB provides 24/7 technical capability to facilitate radiation detection alarm resolution and effectively transition to response operations if required. SRB is used when alarms can’t be resolved at the point of detection. Facilitated and coordinated by DNDO, SRB provides support to Federal, State and local customers. The program sustains this reachback function, while enhancing the expertise of the technical personnel who support reachback capability through knowledge of equipment capabilities and limitations, awareness of technical signatures of threats, and specific knowledge of end-user CONOPS.

### *JAC – Nuclear Assessment Program Description*

DNDO has refocused the technical expertise resident within NAP towards specific requirements of DNDO to include the development of classified annexes for architectural studies; creation of GNDA visualization tools; operations support activities and the ongoing development and execution of red teaming and assessment activities. Specifically, NAP provides technical advice and assistance to DNDO operations and the supporting elements of the GNDA. NAP assists DNDO in defining, monitoring, and updating the evolution of the GNDA.

### *JACCIS – Description*

The Joint Analysis Center Collaborative Information System (JACCIS) supports the JAC in both its Information Sharing and Information Analysis roles. It is the information technology system developed to receive, manage, analyze, transfer, and report on all data relevant to the GNDA. The JACCIS provides an enterprise infrastructure that integrates the Joint Analysis Center (JAC) operational construct and its processes by means of a focused fusion of raw data from multiple sources (alarm adjudication, intelligence sources, etc.) through collaboration, with shared data between communities of interest. This system will also facilitate the sharing of radiation detection data among Federal, regional, and municipal users and empower the lowest level of authority to evaluate detection events as either threat or legitimate, rapidly determining the appropriate response while reducing the impact on commerce and personal movement. This system is also the backbone for moving technical data from lower levels to the nation's technical experts for those cases when the first responders are not capable of determining threat vice legitimate. This integration was previously done via phone and e-mail and was manpower intensive.

The JAC will manage, control, and maintain the authorization and access for JACCIS ensuring all agencies using JACCIS are properly vetted. Federal, State, and local departments and agencies will have access to JACCIS via a public facing external web interface with a Single Sign-On functionality allowing authorized users to access and query data stored by JACCIS per information sharing agreements. Agencies will use the JACCIS interface to upload (attach files in reachback case) event/case information, request reachback, query material license information, query if a conveyance has previously undergone alarm adjudication/resolution, submit requests for information to the JAC, and access reports and information. The JACCIS, via the external web interface, will facilitate the sharing of information and situational awareness and provide the following performance:

- Provide rad/nuc collaboration in the exchange of information relevant to alarm adjudication.
- Provide rad/nuc operational picture.
- Retrieve information available from the GNDA.
- Store Information: Storage of event information history to include reachback alarms, and exercises.
- Publish Information: Publish mapping information in common user formats.
- Authenticate User.
- Authorize User.
- Provide situational awareness in aggregating information elements relative to the rad/nuc domain.
- Provide status of detection events/alarms.
- Facilitate technical assistance (technical assistance as to technical information regarding detector performance, capabilities, etc).

- Provide detection equipment information.
- Facilitate Request for Information:
  - Publish information.
  - Facilitate operational adjudication.
  - Provide Reliability Availability Maintainability Quality Control (RAMQC) information.
  - Provide license and permit information.

## **Rad/Nuc Detection Training and Exercises Programs**

### *Description*

The following are a list of activities that comprise the Radiological and Nuclear (Rad/Nuc) Training and Exercises programs:

- Developing comprehensive Federal/National planning guidance.
- Developing nuclear detection training policies and standards, identifying and resolving nuclear detection training curriculum and delivery gaps, development and delivery of next generation nuclear detection training, assistance and integration of nuclear detection training within Federal, State, and local agencies, maximizing development and use of decentralized support mechanisms, and training program assessment.
- Developing a comprehensive set of nuclear detection exercise templates and tools to be made available for use by all DNDO stakeholders and partners.

The development, continued improvements, and direct delivery of exercise support consists of a common suite of products and methodologies that support exercise design, development, conduct, and reporting. This support includes tools to track the improvement actions of identified deficiencies and to ensure all exercise products are created in accordance with the needs of the GNDA.

As national awareness increases and more resources are dedicated by Federal, State, and local governments to the nuclear detection mission, operational programs will expand and create further demand on support services. To meet these needs, DNDO will develop additional training, exercise, and other support resources that remain relevant to the full range of operations, technologies, and threats. Specialized capabilities at the State and local levels, as well as Federal capabilities such as the Transportation Security Administration's (TSA) Visible Intermodal Prevention and Response (VIPR) program and DNDO's Mobile Detection Deployment Program (MDDP), will require much greater coordination to foster and develop comprehensive, integrated, and regional approaches to nuclear detection.

DNDO will also continue close working relationships with the Federal Emergency Management Agency (FEMA) to assist them in developing National planning guidance, including specific planning scenarios, Target Capability Lists (TCLs), and guidance for Homeland Security grants related to nuclear detection. Beyond existing partnerships, DNDO will enhance relationships with other Federal partners inside and outside DHS. As a result, DNDO will leverage DHS resources, contacts, and expertise to foster more expansive and fully networked communities integrating State and local agencies at regional and national levels to achieve effective nuclear detection capabilities.

The Training and Exercises Program develops and executes nuclear detection training and exercises for Federal, State, and local law enforcement and public safety professionals to increase operational

capabilities. The program's main objectives are to increase operational capabilities at the Federal, State, and local levels; develop and exercise protocols and standards for effective use of radiation detection equipment and associated alarm resolution and reporting processes; develop training curricula in support of emerging detection technologies; and foster organic capabilities by assisting Federal, State, and local agencies in institutionalizing training courses in their academies. The Training and Exercises Program is responsible for the development, oversight and administration of the design, delivery, evaluation and continual improvement of the radiation detection training and associated exercise support services. This training is directed by DNDO personnel and provided by contracted instructors in the vicinity of the requesting State or local agency utilizing their own equipment. Additionally, the Training and Exercises Program will finalize development of a comprehensive Train-the-Trainer curriculum, including distribution of self-study courseware compact discs to a wide spectrum of State and local law enforcement and public safety agencies. This training will significantly increase the number, awareness and capabilities of participants involved with the DNDO mission.

Furthermore, the Training and Exercises Program supports exercise services for nuclear detection and prevention in States, regions and domains within the Interior layer of the GNDA, as well as providing exercise support and consultation to international partners. The Securing the Cities (STC) program in New York is a customer of the Training and Exercise program. Funding will be used to further develop training curricula and exercise execution for the maturing and expanding domains, including: (1) Conduct training gap analyses for ongoing curriculum development; (2) Develop alternative training methods and products that sustain and enhance skills for target audiences; (3) Conduct exercises, drills and workshops to test and evaluate capabilities and pre-and post-training course deliveries, and (4) develop regional training hubs.

## **Interior Capability Development**

### *Description*

Interior capability development programs utilize various levels of engagement and program assistance to initially develop rad/nuc detection capabilities among Federal, State, local, and tribal jurisdictions, and then continue to assist these stakeholders to sustain their programs. Interior capability development consists of:

- Nuclear Detection Program Assistance,
- The Securing the Cities program which helps build capability in Tier I Urban Area Security Initiatives (UASIs) (funded through the Systems Acquisition Appropriation), and,
- Equipment refresh to sustain the twenty five existing TSA Visible Intermodal Prevention and Response (VIPR) Teams.

### *Rad/Nuc Detection Program Assistance (PA) - Description*

Rad/Nuc Detection (RND) Program Assistance is designed to provide guidance to non-STC State and local partners on how to plan, develop, manage, evaluate, and sustain a rad/nuc detection program. In support of this approach, DNDO Directorates coordinate expertise and resources to develop and deliver the necessary threat awareness and understanding, training and exercise support, equipment test reports, information sharing capabilities, and other essential program tools to create an integrated rad/nuc detection environment.

Program assistance includes the following phases:

- *Outreach Phase.* Provides the State, local and tribal (SL&T) partners with general information to raise their awareness or enhance familiarity with rad/nuc detection practices and protocols.
- *Engagement Phase.* Provides the SL&T partners with solution packages and performance models, best practices and experiences that guide implementation of various initiatives.
- *Program Delivery Assistance and Support Phase.* Delivers rigorous, customized solutions to the SL&T partners through direct on-site support. In addition to the resources required to develop the engagements materials up front, providing direct on-site support is the most resource intensive method of delivery and is provided to the highest priority State and local partners first.
- *Sustainment Phase.* Beyond awareness and promotion of the rad/nuc detection mission, DNDO is addressing the needs of State and local partners that are dedicating resources toward the rad/nuc detection mission by establishing support systems that will grow over time to meet increasing demands.

The various DNDO programs to develop and sustain rad/nuc detection capability all utilize a graded approach. Federal agencies that need to develop and sustain rad/nuc detection capability are engaged with and a Memorandum of Understanding signed to outline the mutually agreed-upon support.

SL&T agencies are engaged based on their priority, as determined through the prioritization methodology described in the Integrated State, Local, and Tribal Engagement Strategy Strategic Approach based on the rad/nuc detection capability development framework tool. This then corresponds to a desired level of capability class based on population, pathways and risk factors. Because resources are limited, employing this graded approach helps DNDO to determine the appropriate level of rad/nuc detection capability development resources and methods to apply corresponding to the class of capability. It allows DNDO to maximize the number of engagements conducted while conserving more costly resources to address partners that are considered of higher priority.

Initial engagements focus on threat and mission familiarization and are accomplished either by phone and electronic media contact or by State and UASI rad/nuc awareness visits. Subsequent engagements provide training and guidance on rad/nuc detection operations to State, county and municipal agencies in an effort to spur the development of regional nuclear detection programs, thus preparing their expansion over time and addressing gaps in the GNDA. These efforts lead to improved DNDO awareness of the domestic portion of the GNDA and its expanded rad/nuc detection capabilities.

#### *Visible Intermodal Prevention and Response Teams – Description*

The VIPR Project provides coordination between DNDO and TSA to maintain currency with rad/nuc detection plans, training, and exercises; and funds the equipment for the 25 VIPR teams so they may conduct rad/nuc detection missions as part of their routine operations. Funding provides SETA planning support and coordination for the modification/update of VIPR training and exercises.

A VIPR team consists of a supervisor and six members who will be equipped with seven Personal Radiation Detector (PRD) pagers, three Radio-Isotope Identification Devices (RIIDs), and two to four

Radiation Detection Backpacks per team including spares. In addition, a training suite will be provided with a VIPR train-the-trainer module. DNDO is working closely with TSA/VIPR to institutionalize RND courses in VIPR's training academy so that TSA can maintain this capability, as well as aiding VIPR exercise officials to institutionalize rad/nuc detection exercise capabilities.

The TSA VIPR teams are supported pursuant to a Memorandum of Understanding signed by DNDO and TSA which outlines the mutually agreed-upon support.

## **Maritime Capability Development**

### *Description*

This program is intended to use the lessons learned from the West Coast Maritime Pilot (WCMP) to facilitate development of rad/nuc detection capabilities in maritime regions throughout the U.S. Through this program, maritime stakeholders will receive guidance and assistance from DNDO on operational protocols, training, and exercises that support developing small vessel radiation detection capabilities.

The three-year WCMP program began in September 2007 and concluded in December 2010. It contributed to the development of a radiation detection architecture that reduces the risk of rad/nuc threats that could be illicitly transported on recreational or small commercial vessels. The pilot validated the effectiveness of the use of radiation detection equipment by local authorities and maritime partners as part of their routine operations in the maritime environment.

DNDO will work with Federal, State and local authorities, as well as our other maritime partners in maritime regions to assess the geographic configurations of the ports to maximize detection and interdiction opportunities. Maritime stakeholders will also receive guidance from DNDO on operational protocols, training, and exercises that support small vessel rad/nuc detection capabilities.

## **State and Local Users' Groups**

### *Description*

There are numerous ongoing support activities that are important mechanisms for communicating and getting feedback from rad/nuc detection stakeholders. These activities are reflected in the planned projects for this program. Projects included are:

1. State and Local Stakeholder Working Group (SLSWG) Meetings,
2. Executive Steering Council (ESC) Meetings, and,
3. Interior Focus Group (IFG) Meetings.

### *State and Local Stakeholder Working Group (SLSWG) and Executive Steering Council (ESC) - Description*

The SLSWG meetings and the ESC meetings are part of DNDO's ongoing outreach to and collaboration with S&L agencies involved in nuclear detection. Both meetings target operator and leadership partners, and are specifically designed to obtain feedback on DNDO's initiatives, learn about advances in S&L programs, and facilitate communication and coordination among the S&L agencies building rad/nuc detection capabilities.

### *Interior Focus Group (IFG) - Description*

The IFG is primarily inward focused on the refinement or future development of DNDO's Interior mission area strategy and programs. An initial IFG meeting was held at DNDO in February 2010. Two meetings are planned per year to continue efforts to gather user needs and requirements to develop future programs and projects for Interior customers. The focus group is composed of 10-15 State and local representatives and an equal number of representatives from Federal agencies involved in the rad/nuc detection mission. The IFG agenda includes user need collection to drive future rad/nuc detection capability development, identification of areas of interest for future DNDO architecture studies and roundtable discussions to review proposed ideas and identify future initiatives to close domestic rad/nuc detection gaps. The IFG members have also been utilized to peer-review applications from SL&T jurisdictions requesting allocations of  $^3\text{He}$  for the procurement of neutron detection equipment.

### **Mobile Detection Deployment Program (MDDP)**

#### *Description*

Five MDDP systems are currently deployed at DOE Radiological Assistance Program (RAP) team locations around the U.S. and are designated Mobile Detection Deployment Units (MDDUs). These MDDP systems provide a surge capability that can be readily deployed to support rad/nuc detection operations for special events and intelligence-driven searches. RD&O program funds provide for maintenance and operations for 15 deployments annually.

The plan for the deployment of detection systems as part of MDDP was determined by representatives of DNDO and DOE RAP/NA-42. The initial specialized MDDP unit (delivered and fielded in FY 2008) was modeled after a RAP deployment system. The unit will provide a rad/nuc detection package that can be utilized by a myriad of State and local public safety and Federal agencies and will increase RAP capability.

In FY 2009, DNDO procured one large and three small MDDP systems. Utilizing system acquisition funds in FY 2012, the three small systems will be upgraded to large systems by providing an additional 20 sets of HPRDS radiation detection and radionuclide identification instruments, and mobile detection and communications equipment. The five large MDDP response systems will assure full coverage of National Security Special Events (NSSE) and Special Events categorized under the DHS Special Events Assessment Rating Methodology 2008, levels 1 through 4. The deployment strategy is focused on adding systems to expand coverage across the country, increasing the number of events that could be supported, and reducing response times and logistics (costs and resources) to support deployment. Each large response system will consist of a truck towing a tag-along trailer that is configured to safely transport radiation detection and identification instruments, sufficient to field a 40-member team, certain communications-related equipment and support equipment to sites across the United States (i.e., CONUS). Location of systems will be determined according to concentration and priority of identified NSSEs, and Special Events.

## Information Sharing

### *Description*

The DNDO Information Sharing Program establishes and maintains the necessary enterprise and data architectures that enable programs in DNDO, DHS, as well as our Federal, State, local and commercial partners to effectively share rad/nuc information for the purpose of preventing terrorism and enhancing National security. The DNDO Information Sharing program provides subject matter expert support for Governance, Enterprise Architecture, and Data Architecture (to include data management planning and support) to aid the evolution of standardized systems for robust rad/nuc information exchange. The DNDO Information Sharing program conducts activities to aid DNDO programs and projects in collection, documentation, analysis and validation of GNDA-related information. Integrated information sharing and exchange policies, operational concepts, tactics, techniques, and procedures are produced. This enables improved and timelier rad/nuc detection, incident, and information correlation to “connect the dots.”

There are five projects within the Information Sharing program:

- The Data Architecture project provides and sustains validated methods and means for GNDA information exchanges and includes GNDA standard message protocols for information sharing as well as tools and components for implementing interfaces required to exchange data. This project sustains stewardship of the National Information Exchange Model (NIEM) Chemical, Biological, Radiological, and Nuclear (CBRN) domain, maintains the NIEM-conformant N.25 information exchange protocol, and technical tools for producing and validating NIEM artifacts. Subject matter experts under this project are key contributors to and validators of ANSI N42.42, *American National Standard Data Format Standard for Radiation Detectors Used for Homeland Security*.
- The Enterprise Architecture project validates alignment of SDP programs/projects with DHS, DNDO, and GNDA architectures and strategies and assists program/project managers in SDP tailoring decisions. It maintains the DNDO repository of enterprise architecture artifacts and decisions for SDP programs/projects and updates the DHS Enterprise Architecture repositories. This project develops and maintains architecture models and provides associated tools to permit visualization of the GNDA to aid in acquisition decision making.
- The Governance and Process project provides support to all aspects of integrated governance and capital planning: including Capital Planning and Investment Control (CPIC) required under the Clinger Cohen Act, IT Acquisition Review (ITAR) required under DHS Management Directive (MD) 0007.1, and Acquisition Review Process under DHS Directive 102-01. This project provides support for DNDO’s fulfillment of required Enterprise Architecture and Data Architecture governance functions including DNDO participation in the DHS Headquarters governance bodies such as the Data Management and Enterprise Architecture working groups, as well as the Enterprise Architecture Center of Excellence.
- Information Sharing Support provides assistance to DNDO programs to ensure information sharing and interoperability requirements are addressed. The project defines information exchange requirements, strategies, concepts of operation, and develops program and project artifacts such as conceptual and logical data models (CDM and LDM), maps to the DHS, DNDO, and GNDA architecture reference models. This effort also provides support to program and project reviews of artifacts for architecture validation, as well as implementation,



maintenance and administration of the DNDO Enterprise Architecture Repository (DEAR) tool used by various DNDO Directorates.

- The Analysis and Verification project provides expertise and environments for analysis and verification of DNDO's information sharing architecture and capability. The project provides analysis of DNDO's standards and architecture and support for legacy interfaces, and in conjunction with exchanges with existing and emerging GNDA partners provides verification of information exchange architecture, standards, and technology programs and in support of DNDO's programs and projects, to include STC, JACCIS, and MCM. DTRA also maintains a test bed to evaluate compliance with GNDA protocols and standards.

## **Mission Critical Messaging (MCM)**

### *Description*

Mission Critical Messaging (MCM) responds to information integration-related capability gaps identified in the 2009 Joint Interagency Annual Review of the GNDA and the GNDA Annual Report of 2011 - particularly the integration of unclassified information from systems to be used for situational awareness across the GNDA. MCM facilitates the development and implementation of a messaging infrastructure for communicating rad/nuc situational awareness in real time using the NIEM and geospatial message routing by Federal, State, local, tribal, and territorial partners. MCM will leverage the information sharing architecture and standards developed by DNDO to allow our partners to establish messaging infrastructures using commercially available message routing hardware and software which can be acquired and deployed by our Federal, State, and local partners.

Under the efforts of the Southeast Transportation Corridor Pilot (SETCP) in 2007 and 2008, DNDO explored the use of rad/nuc information exchange standards to enhance our ability to share cargo screening information and to support rad/nuc alarm adjudication. With lessons learned in the SETCP, DNDO began prototyping solutions that would scale to provide effective GNDA information sharing. DNDO's partner, DTRA, identified commercial message routing solutions that met DNDO's requirements, and DNDO has successfully connected those technologies to a State counter-terrorism center display system. Based on the success of experimental prototyping efforts and the recommendation of the White House Interagency Policy Committee on "Information Sharing and Architecture," the MCM program is planned to enter the Analyze/Select phase of the DHS Acquisition Lifecycle in FY 2012.

**SUMMARY:** *The following table illustrates the crosswalk between specific projects and activities and the DNDO mission areas.*

<b>PPA: OPERATIONS SUPPORT</b>						
<b>MISSION ALIGNMENT</b>						
	<b>Cross Mission Capability Development</b>	<b>Infrastructure and Support</b>	<b>Land Borders</b>	<b>Interior</b>	<b>Maritime</b>	<b>Aviation</b>
<b>Joint Analysis Center (JAC)</b>		X				
<b>RND Training &amp; Exercises</b>				X		
<b>Interior Capability Development</b>				X		
<b>Maritime Capability Development</b>					X	
<b>State and Local Users' Groups</b>				X		
<b>MDDP Maintenance and Operations</b>				X		
<b>Information Sharing</b>		X				
<b>Mission Critical Messaging</b>		X				
<b>QHSR ALIGNMENT</b>						
	<b>Goal</b>	<b>Obj.</b>	<b>Description</b>			
<b>Joint Analysis Center (JAC)</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>RND Training &amp; Exercises</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Interior Capability Development</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Maritime Capability Development</b>						
<b>State and Local Users' Groups</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>MDDP Maintenance and Operations</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Information Sharing</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			
<b>Mission Critical Messaging</b>	1.2	1.2.3 1.2.4	Control Movement of CBRN Protect Against Hostile Use of CBRN			

*DHS QHSR Mission 1- Preventing Terrorism and Enhancing Security  
Goal 1.2 - Prevent Unauthorized Acquisition or Use of CBRN Materials and Capabilities*

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
National Technical Nuclear Forensics Center  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: National Technical Nuclear Forensics Center**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>23,032</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>23,000</b>
2013 Adjustments-to-Base	-	-	(1,899)
<b>2013 Current Services</b>	-	-	<b>21,101</b>
2013 Program Change	-	-	4,463
<b>2013 Total Requested Budget Authority</b>	-	-	<b>25,564</b>
Total Change 2012 to 2013	-	-	2,564

The Domestic Nuclear Detection Office (DNDO) requests \$25.564 million for this activity. DNDO has identified efficiency savings of \$1.899 million in FY 2013 through a collaborative approach with the national laboratories in the development of methodologies and material signatures.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The importance of accelerating efforts to advance technical nuclear forensics (TNF) capabilities has been highlighted in recent high-level USG policy and planning documents, a study by the National Academy of Sciences (NAS), international counterterrorism forums, and by Congress. The President wrote to Congress on April 30, 2010, in his letter transmitting the *National Strategic Five-Year Plan for Improving the Nuclear Forensics and Attribution Capabilities of the United States*, that nuclear forensics and attribution are “vital national security priorities.” Both the *Nuclear Posture Review Report* and the *Quadrennial Defense Review (QDR) Report* call for increased efforts to develop nuclear forensics capabilities in light of shifting nuclear policy priorities to a focus on preventing nuclear terrorism. The *QDR* states: “Improving our ability to attribute nuclear threats to their sources can help deter aggressors from considering the use of nuclear weapons, as well as deter state and non-state actors that may provide direct or indirect support of nuclear terrorism...”<sup>3</sup> In its report, *Implementing 9/11 Commission Recommendations: Progress Report 2011*, DHS highlights its efforts to advance nuclear forensics as key to strengthening prevention of rad/nuc terrorism.<sup>4</sup> The NAS conducted a comprehensive two-year study of the nation’s nuclear forensics capabilities and

<sup>3</sup> Quadrennial Defense Review Report, February, 2010, United States Department of Defense, Washington, D.C. p. 36.

<sup>4</sup> *Implementing 9/11 Commission Recommendations: Progress Report 2011*, United States Department of Homeland Security, Washington, D.C., p. 32.

concluded, “Our nation’s ability to conduct forensic analysis of nuclear materials, nuclear explosions, and debris from radiological dispersion devices can contribute substantially to deterring, limiting, and responding to nuclear terrorism.”<sup>5</sup> The NAS report also concluded that nuclear forensics capabilities are “fragile, under resourced, and, in some respects deteriorating. Without...additional resources these capabilities will decline.”<sup>6</sup> This report has become a rallying call for DHS and its partner agencies. International attention has also been turned to the need to develop nuclear forensic capabilities. Participants at the 2010 Nuclear Security Summit stated they would “work together to develop national capacities for nuclear forensics.”<sup>7</sup> Recently, the Global Initiative to Combat Nuclear Terrorism (GICNT) identified nuclear forensics capability development as a near-term priority and established the GICNT Nuclear Forensics Working Group.

DNDO’s responsibility in supporting these national priorities were codified by Congress passed in the *Nuclear Forensics and Attribution Act* (NFAA), which the President signed into law (Public Law 111-140) on February 16, 2010. The NFAA establishes the National Technical Nuclear Forensics Center (NTNFC) within DNDO with the responsibility to provide “centralized stewardship, planning, assessment, gap analysis, exercises, improvement, and integration for all Federal nuclear forensics and attribution activities.” The NFAA also mandates the NTNFC to lead the National Nuclear Forensics Expertise Development Program (NNFEDP) and the development of a Joint Interagency Annual Review of the *National Strategic Five-Year Plan for Improving the Nuclear Forensics and Attribution Capabilities of the United States*.<sup>8</sup>

To fulfill its responsibilities, the NTNFC is organized into three key mission areas. The first assures “Operational Readiness” of the USG national technical nuclear forensics (NTNF) enterprise. Coordination of TNF activities are critical to the success of the forensics mission – ad hoc actions in the aftermath of an event will fail to meet intense demands for rapid and effective response. NTNFC is meeting its integration responsibility by leading joint planning, requirements development, increasingly rigorous exercises, and assessments of nuclear forensics activities to assure readiness at all times and without warning.

Second, the “Technology Advancement” program supports the DNDO mission to serve as the national capability developer for TNF of radiological and nuclear (rad/nuc) materials interdicted before a detonation. These efforts focus on advancing the speed, accuracy, and confidence of TNF analyses, including the development of reference materials necessary for the validation of methods used for characterizing materials; developing new signatures to help identify the origin and pathway of materials; and creating and improving data evaluation and simulation tools to enable the linking of measurement results to both comparison samples and characteristics predicted through modeling and simulation.

Third, NTNFC leads the National Nuclear Forensics Expertise Development Program (NNFEDP), to restore and sustain an enduring nuclear forensics expertise pipeline – one of the most significant challenges facing the national capability. NTNFC is increasing the emphasis it has placed on the

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<sup>5</sup> *Nuclear Forensics: A Capability at Risk*, (Abbreviated Version), National Research Council of the National Academies, Committee on Nuclear Forensics, (National Academies Press, Washington, D.C.), July 2010, p. vii.

<sup>6</sup> *Ibid.*, 1

<sup>7</sup> *Work Plan of the Washington Nuclear Security Summit*, April 13, 2010, Washington, D.C., p.7

<sup>8</sup> Public Law 111-140-Feb. 16, 2010, United States Government Printing Office.

development and retention of TNF expertise, across the human capital spectrum from the most junior (e.g., student interns, fellows, and junior faculty) to the most senior (e.g., forensic scientists' knowledge capture, formal mentoring, and a stable and sufficient research and development program). The activities in this mission area are well-aligned with the goals for the NNFEDP, as outlined in the NFAA.

### **Strategic Alignment – National Technical Nuclear Forensics Center**

The three mission areas and associated projects of the NTNFC are aligned under the DHS Quadrennial Homeland Security Review (QHSR) Mission 1: Preventing Terrorism and Enhancing Security.

- Goal 1.1: Prevent Terrorist Attacks
  - Objective 1.1.2: Deter and Disrupt Operations
- Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
  - Objective 1.2.1: Anticipate Emerging Threats
  - Objective 1.2.2: Control Access to CBRN
  - Objective 1.2.4: Protection against Hostile Use of CBRN.

The programs and activities of the NTNFC are also aligned with the goals and investment priorities delineated in the *National Strategic Five-Year Plan for Improving the Nuclear Forensics and Attribution Capabilities of the United States*.

### **Operational Readiness Program**

#### *Description*

As highlighted in the NFAA, a fundamental responsibility of DNDO is to advance the TNF readiness of the USG. As the program integrator, NTNFC provides centralized planning, evaluation, and stewardship of USG TNF capabilities through interagency coordination and integration, international collaboration, exercises, assessment, and corrective actions. NTNFC leads the joint development, coordination, and review of foundational planning documents that establish interagency strategic goals, objectives, requirements, processes, plans, and operational procedures for the USG NTNFC mission. NTNFC sponsors and leads assessments to evaluate these efforts and improve the TNF capability across the mission spectrum from pre-detonation to post-detonation, both within the U.S. and abroad. NTNFC coordinates partner agency budgets to facilitate program alignment. Improved integration yields better results by eliminating duplication of effort and examining unfunded gaps.

Concurrent with full interagency integration, another key component of ensuring operational readiness, emphasized by the NAS, is the conduct of regular, rigorous NTNFC exercises. Such exercises assess field sampling techniques, laboratory analysis, data evaluation and reporting, and communication flow. The major exercises alternate between pre-detonation and post-detonation scenarios involving rad/nuc materials. These exercises and focus on the continuous improvement of interactions across the nuclear forensics community. Exploring the technical and operational shortcomings and gaps enable DNDO and its partners to identify corrective actions based on After Action Reports and Lessons Learned. A comprehensive proficiency testing program will also be implemented in step with the validated methodology requirements.

Projects within the Operational Readiness Program:

- The Centralized Planning project addresses the requirement set out in governing documents (NFAA and NSPD-17/HSPD-4) to strengthen USG TNF capability through interagency coordination and stewardship.
- The Assessments and Analysis project addresses the requirement set out in governing documents to strengthen TNF capability through regular evaluations.
- The Exercises project addresses the requirement set out in governing documents to strengthen TNF capability through multi-agency exercises.

## **Technology Advancement**

### *Description*

As recommended by the NAS, the technology of TNF should be advanced, from analytical methods to modeling to validation standards. NTNFC leads activities that advance the USG capability to rapidly, accurately, and credibly characterize and identify the nature, origin and history of rad/nuc materials intercepted before a detonation. The capability develops techniques that enable forensically associating a questioned sample with existing signature families, predictive results from process modeling, or comparative samples (if available) to formulate inclusionary or exculpatory technical conclusions. These efforts strive to close capability gaps in nuclear forensics while increasing performance capabilities for speed, quality, and confidence in collection, analysis, and evaluation techniques. The Technology Advancement program is working to validate methodologies that will provide quality results with well-understood uncertainties in the exploitation of signatures for TNF purposes. NTNFC is developing signatures and data evaluation tools that incorporate all relevant TNF information into technical conclusions that support attribution assessments. Developed methods and signatures are provided to FBI, DoD, DOE, and the Intelligence Community, and other directorates within DNDO could benefit from the products of the Reference Material Development and U and Pu Processing Signatures projects.

Projects within Technology Advancement include:

- The Methodology Benchmarking project will evaluate and benchmark laboratory capability to perform specific analyses and methods that are appropriate for operational forensics use and identify gaps where improved methods are needed.
- Certified reference materials are required by the NTNFC Quality Assurance (QA) Program to validate measurement methods. Well-characterized materials are also required for methodology development, proficiency testing, and exercise activities. The primary goal of the Reference Material Development project is to prepare reference materials and standard tracers to support the schedule of the Methodology Benchmarking project, exercises, and operational QA activities performed by FBI and DOE.
- The New Methodology Development project will develop new methods or improvements to existing methods that increase the speed, accuracy, or precision of a measurement technique. Methodologies developed under this project will advance to the Methodology Benchmarking schedule.

- The Material Characterization project will characterize domestic and foreign material to allow for operational use of validated analytical methods, to inform and support signature development, and to provide information to the Nuclear Materials Information Program (NMIP). As new signatures are developed, materials will be characterized to support development and validation of those signatures. This will be a continuing effort, coordinated with DOE (NMIP), New Methodology Development, New Signature Development, and Data Evaluation Tools projects.
- The New Signature Development project will perform studies to determine material and statistical population characteristics that can uniquely identify linkages with known or predicted material characteristics.
- The Uranium Processing Signatures project will perform small-scale production of uranium materials using a modifiable processing platform for signature development and ability to create well-pedigreed reference materials for signature development and methodology validation.
- Similarly, the Plutonium Processing Signatures project will perform small-scale production of plutonium materials using a modifiable processing platform for signature development and ability to create well-pedigreed reference materials for signature development and methodology validation.
- The Data Evaluation Tools project will develop and demonstrate the next-generation of tools for pattern analysis and methods to articulate whether or not measurements from questioned samples can be included or excluded from specific families of signatures.

## **Expertise Development Program**

### *Description*

A top priority of DNDO's stewardship mission is to lead USG efforts to restore and sustain an enduring nuclear forensics expertise pipeline, one of the most significant challenges facing the national capability. As mentioned, the NFAA recognizes the NNFEDP as critical to cultivating and maintaining a technical workforce capable of performing the NF mission. Led by NTNFC, the NNFEDP provides graduate and undergraduate scholarships, fellowships, and internships; post-graduate fellowships; and university and junior faculty awards for studies and research in specialties relevant to nuclear forensics. Initiatives include the Nuclear Forensics Undergraduate Scholarship Program (NFUSP), the Nuclear Forensics Graduate Fellowship Program (NFGFP), the Nuclear Forensics Post-Doctorate Fellowship Program (NFPDFP), the Nuclear Forensics Education Award Program (NFEAP), and the Nuclear Forensics Junior Faculty Award Program (NFJFAP), among other efforts. The NNFEDP addresses the nation's need for talented, qualified, next-generation nuclear forensics scientists to support an enduring TNF capability. DNDO continuously evaluates the state of work force within the national laboratory system relative to USG NTNFC mission requirements in order to appropriately scale and scope the NNFEDP into the out-years. In addition, DNDO has partnered with the National Academy of Sciences on a study to assess the supply and demand for nuclear chemistry and radiochemistry expertise in the U.S. over the next 20 years.

This program is unique from broader science and technology Federal education programs in its deliberately narrow focus on filling specific, identified gaps within the nuclear forensics field. NNFEDP scholars, fellows, university, and faculty awardees must pursue degrees, conduct research, and build academic programs that directly contribute to advancing the USG TNF mission. The

NNFEDP utilizes a unique interdisciplinary approach to the TNF problem that encourages collaboration among academic programs, universities, and the national laboratories. In addition, DNDO chairs the NTNF Expertise Development Committee (EDC) in order to ensure cross-agency integration and participation in the NNFEDP. The EDC provides a forum to plan, coordinate, and execute joint initiatives within the NNFEDP to facilitate collaborative efforts among NTNF interagency partners, avoiding duplication, leveraging funding, and ensuring robust Federal support and unity of effort. Active participants include DHS, DOE/NNSA, DoD/DTRA, and the FBI.

Projects within Expertise Development include:

- The Academics project supports a current GPRA Performance Metric for DNDO. NTNF Strategic Five-Year Plan activities and investment areas under this goal include the implementation of academic and workforce programs designed to fill gaps in the expertise pipeline and ensure a robust and enduring TNF workforce, and the need to build upon the success of activities initiated in FY 2008-2009 and expand them in a controlled and measured fashion to achieve a steady-state goal beginning in FY 2012. Initiatives included in this project include graduate and undergraduate scholarships, fellowships, and internships and university and junior faculty awards for studies and research in specialties relevant to nuclear forensics.
- The Laboratories project supports post-doctorate fellowships at the national laboratories, and funds these laboratories to provide one-on-one mentorship to graduate students in nuclear forensics-related research areas.
- The Assessments project maintains a current assessment of the needs and status of the TNF workforce and pipeline.

**SUMMARY:** The table below illustrates the crosswalk between specific projects and activities and the DNDO mission areas.

<b>PPA: FORENSICS</b>					
<b>MISSION ALIGNMENT</b>					
	<b>Forensics</b>	<b>Land Border</b>	<b>Interior</b>	<b>Maritime</b>	<b>Aviation</b>
<b>Operational Readiness</b>	X				
<b>Technology Advancement</b>	X				
<b>Expertise Development</b>	X				
<b>QHSR ALIGNMENT</b>					
	<b>Goal</b>	<b>Obj.</b>	<b>Description</b>		
<b>Operational Readiness</b>	1.2	1.2.4	Protect Against Hostile Use of CBRN		
<b>Technology Advancement</b>	1.2	1.2.4	Protect Against Hostile Use of CBRN		
<b>Expertise Development</b>	1.2	1.2.4	Protect Against Hostile Use of CBRN		

*DHS QHSR Mission 1- Preventing Terrorism and Enhancing Security  
Goal 1.2 - Prevent Unauthorized Acquisition or Use of CBRN Materials and Capabilities*



## IV. Program Justification Changes

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Transformational Research and Development  
PPA: Transformational Research and Development  
Program Increase: Positions 0, FTE 0, Dollars \$43,897

### Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	40,000
Program Increase							-	-	43,897
<b>Total Request</b>	-	-	<b>98,478</b>	-	-	<b>40,000</b>	-	-	<b>83,897</b>

### Description of Item

Transformational Research and Development focuses on dramatically improving nuclear detection capabilities, addressing enduring vulnerabilities, and reducing the operational burden of rad/nuc detection. The funds requested for Transformational Research and Development in FY 2013 will allow DNDO to sufficiently support efforts across the three major research programs that constitute the TAR research portfolio, including Advanced Technology Demonstrations (ATDs), the Exploratory Research program, and the Academic Research Initiative. The amount requested for FY 2013 will restore DNDO R&D programs to funding levels commensurate with prior years.

### Justification

The funding increase for the Transformational Research and Development (TAR) PPA supports six ongoing programs and restores 14 projects that were put on hold. This restoration of funding ensures a healthy and robust R&D program which delivers new and integrated technologies. To ensure a strong return on investment for R&D projects, all projects are aligned with identified needs or GNDA gaps, and are characterized and evaluated throughout their life to determine their feasibility and merit for further investment or transition to commercial development.

### Impact on Performance (Relationship of Increase to Strategic Goals)

Examples of items funded in FY 2013 include:

- Advanced Technology Demonstrations:

- Due to FY 2012 funding constraints, the Mobile Radiation Imaging and Tracking System (MRITS) ATD initially planned for FY 2012 will begin in FY2013.
- TAR will restore the full effort to the Nuclear and Radiological Imaging Portal (NRIP) ATD and initiate the Mobile Radiation Imaging and Tracking System (MRITS) and Portable Advanced Neutron Detector (PAND) ATD's. These changes will allow TAR to continue its research focus on active interrogation methods using naturally-occurring radiation flux, integration of multiple sensor systems to enhance long-range radiation detection, and alternative systems for neutron detection.
- Exploratory Research Program:
  - Exploratory Research Programs: Restore solicitations for new research and development in all six topic areas considered key to filling gaps in the GNDA including: Algorithms, Materials, Neutron, Passive Detection, Shielded SNM, and Nuclear Forensics. These solicitations will develop high-reward technologies and will resume support for ongoing promising research at both National Laboratories and Industry.
- Academic Research Initiative:
  - Academic Research Initiative: With funding requested in FY 2013, DNDO will renew the DNDO/National Science Foundation partnership by initiating solicitations designed to support research efforts in five topic areas designed to address the gaps identified in the GNDA. In addition to providing potentially break-through technologies, renewing the partnership will have the added bonus of supporting over 90 students conducting graduate research in nuclear chemistry, engineering and physics.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 2:** Operations Support  
PPA: Operations Support  
Program Increase: Positions 0, FTE 0, Dollars \$3,290

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	32,389
Program Increase							-	-	3,290
<b>Total Request</b>	-	-	<b>32,656</b>	-	-	<b>33,000</b>	-	-	<b>35,679</b>

**Description of Item**

DNDO is focusing its efforts towards domestic prevention and detection capabilities, particularly efforts with State and local agencies, including the Maritime Domain, and prioritizing its prime mission of developing the domestic portion of the GNDA. Examples of funded initiatives include establishing and maintaining the necessary enterprise and data architectures that enable programs in DNDO, DHS, as well as our Federal, State, local and commercial partners to effectively share rad/nuc information for the purpose of preventing terrorism and enhancing National security.

**Justification**

The Information Sharing Program (ISP) provides the necessary Enterprise and Data Architecture to enable our Federal, State, local and commercial partners to share rad/nuc information against a common operating picture. The Mission Critical Messaging (MCM) program provides the capability to implement automated sharing of rad/nuc information across a wide range of partners utilizing protocol translation techniques. DNDO is consolidating these programs under the Operations Support PPA to enable and better align with the common objectives of GNDA partners.

The Maritime Capability Development (MCD) program is being combined with all other rad/nuc assistance programs to address standard, but tailorable, methods to scan people, cargo, vessels, and other conveyances at seaports of entry and on seas, oceans, or other navigable waterways. DNDO is working with maritime stakeholders to standardize operational protocols, training, and exercises in the maritime domain to the extent possible.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Funds requested will contribute to the attainment of the GNDA Strategic Plan Performance Goals for international and domestic information sharing; the development of Federal, State and local nuclear

and radiological detection architectures; and the maintenance of connectivity among those deployed systems.

The MCD program is similar to other assistance programs that provide standard tailorable training, equipment and operational doctrine to aid State and local partners with the implementation or enhancement of their local detection capabilities and the operational coordination with Federal Stakeholders. This program is linked to DNDO programs that will implement additional capability with Federal Partners to ensure a coordinated approach to address this GNDA vulnerability.

These program changes provide for enhanced GNDA situational awareness among all Federal partner organizations as well as improved communication infrastructures, protocols, public messaging systems, and coordination with international organizations and foreign partners.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 3:** National Technical Nuclear Forensics Center  
PPA: National Technical Nuclear Forensics Center  
Program Increase: Positions 0, FTE 0, Dollars \$4,463

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	21,101
Program Increase							-	-	4,463
<b>Total Request</b>	-	-	<b>23,032</b>	-	-	<b>23,000</b>	-	-	<b>25,564</b>

**Description of Item**

The National Technical Nuclear Forensics Center (NTNFC) serves as the USG focal point for the National Technical Nuclear Forensics program. Specific advancements in laboratory technical capabilities for special nuclear material forensics and processing will be funded to enhance the Nation’s ability to handle and examine materials. Additionally, the NTNFC will use funds to strengthen interagency and international coordination and analysis for nuclear forensics, including an end-to-end interagency nuclear forensics exercise.

**Justification**

The forensics funding increase of \$4.463 million will support priorities which are required by Public Law 111-140, Presidential Directive, and the National Strategic Five-Year Plan. Funding will support national Expertise Development, Technology Advancement, and Operational Readiness.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Requested funding will support implementation of the NFAA requirements for nuclear forensics activities and priorities. The NTNFC will utilize the increase in funds to address capability development identified by the National Academy of Sciences Report (“Nuclear Forensics: A Capability at Risk”) and focus on DHS responsibilities to continue advancement of technical pre-detonation forensics analytical methods, capabilities exercises, and address academic pipeline issues.

With this increase to the Forensics PPA, DNDO will increase its interagency stewardship and leadership in the post-detonation area by expanding its planning and logistics support to accomplish a multi-phase or end-to-end exercise in the FY 2013 timeframe. NTNFC is the driving force behind this

effort to meet the Presidential requirement and NAS recommendation for periodic large scale robust exercises. Additionally, the increase will enable DNDO to produce three certified reference materials as well as advance methods for trace actinide, trace element, and age-dating analyses in preparation for multiple bulk Uranium and Plutonium benchmarking studies. These materials and studies will be used to further forensic analysis development, operational laboratory method validation, and quality assurance.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 4:** Systems Engineering and Architecture  
PPA: Systems Engineering and Architecture  
Program Increase: Positions 0, FTE 0, Dollars \$1,295

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	28,796
Program Increase							-	-	1,295
<b>Total Request</b>	-	-	<b>34,607</b>	-	-	<b>30,000</b>	-	-	<b>30,091</b>

**Description of Item**

In the National Security Presidential Directive (NSPD) 43 / Homeland Security Presidential Directive (HSPD) 14, DNDO is mandated to, “serve as the primary entity in the United States Government to further develop, acquire, and support the deployment of an enhanced domestic system to detect and report on attempts to import, possess, store, transport, develop or use an unauthorized nuclear device, fissile material or radiological material in the United States.”

Systems Architecture determines gaps and vulnerabilities in the existing GNDA and then formulates recommendations and plans to develop an enhanced architecture. Several key elements exist with global architecture including (a) a multi-layered structure of Rad/Nuc detection systems, deployed both domestically and overseas, (b) a well-defined and carefully coordinated network of interrelationships among them, and (c) guidelines governing the architecture’s design and evolution over time. Systems Architecture, in cooperation with DNDO’s intra- and interagency partners, develops time-phased strategies and plans for improving the probability of detecting and preventing rad/nuc attacks.

**Justification**

The funding increase of \$1.295 million will support priorities which are consistent with DHS Secretary’s goal to focus on programs that provide maximize benefit by shifting funds from lower priority activities resulting in gaining resources due to efficiencies.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Efficiencies initiatives within DNDO have resulted in additional resources to complete Capabilities Based Assessments, and modeling in support of the radiological and nuclear threat risk assessment (RNTRA). These efforts support developing an enhanced GNDA, including both domestic and

international components. DNDO is also leading the development of the GNDA Implementation Plan that catalogs USG Activities that serve to detect, analyze, and report on rad/nuc materials that are out of regulatory control.



**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:** Systems Development  
PPA: Systems Development  
Program Decrease: Positions 0, FTE 0, Dollars \$(21,496)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	49,897
Program Decrease							-	-	(21,496)
<b>Total Request</b>	-	-	<b>68,420</b>	-	-	<b>51,000</b>	-	-	<b>28,401</b>

**Description of Item**

Funding reductions to the Systems Development PPA are partially the result of DNDO's transition from large, government-sponsored development initiatives to Commercial First approaches in order to more efficiently and effectively develop and deploy technology. The decrease is also a result of prioritizing funding to support the procurement of HPRDS for DHS frontline operators and solutions to address aviation cargo scanning.

**Justification**

The proposed decrease in Systems Development reflects a prioritization of funds to meet the critical need for rad/nuc detection equipment by DHS Operational Components. DNDO reviewed its programs to ensure the right mix of programs are funded and will support GNDA priorities. The following programs will not be funded in FY 2013:

- Cargo Imaging for Shielded Nuclear Threats (CISNT)
- On Dock Rail & International Rail

The following high priority programs will be funded:

- Human Portable Tripwire (HPT) program is able to complete a commercial first approach in FY 2013.
- Algorithm Improvement, <sup>3</sup>He Shortage Mitigation, Human Portable Wide-Area Search (HPWAS), Small Vessel Standoff Detection, Land Border Capabilities, and Multi-Pathway Scanning are fully funded in FY 2013.

- Polyvinyl Toluene (PVT) Improvement program is funded in FY 2013.

### **Impact on Performance (Relationship of Increase to Strategic Goals)**

Meeting the critical acquisition needs for rad/nuc detection equipment by DHS operational components resulted in the elimination of development programs such as International Rail, On Dock Rail, and CISNT, which were planned to deliver solutions for their respective capability gaps. In the future, DNDO will revisit potential solutions that address the technical challenges associated with addressing these capability gaps, and evaluate the risk of threats transported through these gaps to maintain the possibility of restart along with the other funded development programs.

Funding for the HPT and HWAS has been increased from prior years as DNDO attempts to drive development by industry to address nuclear detection requirements. The funding provides for the testing of commercially developed solutions utilizing government sources.

DNDO is shifting funding that would have been directed to improve the capability and possibly extend the service life of existing PVT Systems currently deployed. DNDO began to explore potential improvements in FY 2009, continuing with the funding provided in the FY 2010. In FY 2012, DNDO will complete development for selected improvement candidate solutions. Funding requested in FY 2013 will support the completion of developmental testing and provide for Field Validation testing of solutions.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 2:** Assessments  
PPA: Assessments  
Program Decrease: Positions 0, FTE 0, Dollars \$(4,194)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	37,392
Program Decrease							-	-	(4,194)
<b>Total Request</b>	-	-	<b>40,799</b>	-	-	<b>38,000</b>	-	-	<b>33,198</b>

**Description of Item**

Specific Assessment programs that maintain level funding as on-going, support programs to all DNDO directorates include: Test and Evaluation (T&E) Operations, T&E Infrastructure, Algorithm Test Bed, Directed Testing, and Test Data Management, and Red Team and Net Assessments (RTNA).

**Justification**

Funding reductions in the Assessments PPA reflect prioritization of the operational need to provide frontline operators with human portable nuclear detectors. Reflecting this need, in FY 2013 infrastructure funding is decreased, eliminating the funding for the Rail Test Center at the port of Tacoma and reducing funding to support the DNDO test data collection system. In addition, funding to support on-going test operations and the DNDO Directed Testing has been reduced and funding for pilots has been eliminated.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Since 2007, DNDO has maintained a testing capability in an operational port environment with the RTC at the port of Tacoma, Washington. This capability has been invaluable in conducting operationally relevant test and evaluation of rad/nuc systems for use at sea ports of entry. Crane-mounted systems, mobile systems, hand-held detectors, and the radiation detection straddle carrier were all tested at the RTC. The capability of the RTC test team has also supported On-Dock Rail Program Stream of Commerce (SoC) testing, including performing specialized studies (Background Studies, Baseline Data Collections), and Modeling and Simulation support to inform the Alternatives Analysis. The RTC also provides DNDO with an alternative data collection system (CORE) that is currently supporting the ITRAP+10 test campaign. Without the RTC, DNDO will lose the capability to execute 1 or more test campaign annually. The Department will seek to use other facilities and the

RNCTEC, as appropriate, to test and evaluate nuclear detection systems, but these alternative test venues cannot replicate the environment in an actual operational port.

The Directed Test Program provides for structured test campaigns to characterize currently available equipment in operationally relevant scenarios and CONOPS to inform Federal, State and local entities of nuclear detection system capabilities to allow informed equipment selection decisions. The test campaigns funded under this line item have been some of the most impactful test activities conducted by DNDO, including the Crawdad (Maritime Rad/Nuc Detection Systems), Dolphin (Maritime Systems in operational environment), ITRAP+10, and Gryphon (Aerial-Mounted Radiation Detection Systems) test campaigns. At reduced funding levels, the scope and impact of future directed test campaigns will be lessened by approximated 20%.

Funding has also been reduced in the Test and Evaluation Operations Support line item. This will reduce the institutional support from independent Subject Matter Experts (SMEs) and test engineers to plan, execute, and analyze the results. The number of test and evaluation campaigns that can be supported by DNDO T&E program will be reduced by approximately 22%.

Similar to Directed Tests, the Pilots Program provides opportunities to evaluate operational utility of mature nuclear detection technology, but with the pilot conducted in an operational environment with actual end-users operating the equipment to screen stream of commerce in accordance with approved CONOPs, alarm adjudication, and reach-back procedures. DNDO will defer conducting pilots to focus on the highest priority requirements in FY 2013 or those funded by a transformational or development program.

**V. Exhibits and Other Supporting Material**  
**A. Justification of Proposed Legislative Language**

For necessary expenses for radiological and nuclear research, development, testing, evaluation, and operations, \$236,830,000, to remain available until September 30, 2015. (Department of Homeland Security Appropriations Act, 2013.)

**Explanation of Changes:**

No substantive changes included.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
FY2012 to FY2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
<b>FY 2011 Actual Obligations</b>	-	-	<b>297,992</b>
<b>FY 2012 Enacted Budget Authority</b>	-	-	<b>215,000</b>
<b>Adjustments-to-Base</b>	-	-	-
<b>Transfers</b>	-	-	-
<b>Decreases</b>	-	-	-
Management efficiencies	-	-	(5,425)
<b>Total, Decreases</b>	-	-	<b>(5,425)</b>
<b>Total, Adjustments-to-Base</b>	-	-	<b>(5,425)</b>
<b>FY 2013 Current Services</b>	-	-	<b>209,575</b>
<b>Program Changes</b>	-	-	-
<b>Increases</b>	-	-	-
Systems Engineering and Architecture	-	-	1,295
Transformational Research and Development	-	-	43,897
Operations Support	-	-	3,290
National Technical Nuclear Forensics Center	-	-	4,463
<b>Total, Increases</b>	-	-	<b>52,945</b>
<b>Decreases</b>	-	-	-
Systems Development	-	-	(21,496)
Assessments	-	-	(4,194)
<b>Total, Decreases</b>	-	-	<b>(25,690)</b>
<b>Total, Program Changes</b>	-	-	<b>27,255</b>
<b>FY 2013 Requested Budget Authority</b>	-	-	<b>236,830</b>
<b>FY 2012 to FY 2013 Total Change</b>	-	-	<b>21,830</b>

## C. Summary of Requirements

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
<b>FY 2011 Actual Obligations</b>	-	-	297,992
<b>FY 2012 Enacted Budget Authority</b>	-	-	215,000
<b>Adjustments-to-Base</b>	-	-	-
Increases	-	-	-
Decreases	-	-	(5,425)
<b>Total, Adjustments-to-Base</b>	-	-	(5,425)
<b>FY 2013 Current Services</b>	-	-	209,575
<b>Program Changes</b>	-	-	-
Increases	-	-	52,945
Decreases	-	-	(25,690)
<b>Total, Program Changes</b>	-	-	27,255
<b>FY 2013 Requested Authority</b>	-	-	236,830
<b>FY 2012 to FY 2013 Total Change</b>	-	-	21,830

\*FY 2012 funding level reflects the funding levels provided in the FY 2011 Enacted Appropriation P.L. 112-10, including the .2% rescission.

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Systems Engineering and Architecture	-	-	30,000	-	-	(1,204)	-	-	1,295	-	-	30,091	-	-	91
Systems development	-	-	51,000	-	-	(1,103)	-	-	(21,496)	-	-	28,401	-	-	(22,599)
Transformational research and development	-	-	40,000	-	-	-	-	-	43,897	-	-	83,897	-	-	43,897
Assessments	-	-	38,000	-	-	(608)	-	-	(4,194)	-	-	33,198	-	-	(4,802)
Operations support	-	-	33,000	-	-	(611)	-	-	3,290	-	-	35,679	-	-	2,679
National Technical Nuclear Forensics Center	-	-	23,000	-	-	(1,899)	-	-	4,463	-	-	25,564	-	-	2,564
<b>Total</b>	-	-	<b>215,000</b>	-	-	<b>(5,425)</b>	-	-	<b>27,255</b>	-	-	<b>236,830</b>	-	-	<b>21,830</b>

**D. Summary of Reimbursable Resources**

**N/A**



## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	1,302	1,534	1,281	(253)
24.0 Printing	15	-	-	-
25.1 Advisory and assistance services	44,660	27,702	31,798	4,096
25.2 Other services	83	16	31	15
25.3 Purchases from Gov't accts.	145,015	70,630	106,507	35,877
25.4 Operation and maintenance of facilities	-	10,152	9,523	(629)
25.5 R&D of contracts	89,859	109,399	86,255	(23,144)
25.7 Operation and maintenance of equipment	62	65	143	78
26.0 Supplies and materials	127	84	78	(6)
31.0 Equipment	1,468	-	-	-
41.0 Grants/Subsidies/Contributions	15,401	7,809	1,215	(6,594)
<b>Total, Other Object Classes</b>	<b>297,992</b>	<b>227,391</b>	<b>236,830</b>	<b>9,439</b>
<b>Total, Direct Obligations</b>	<b>297,992</b>	<b>227,391</b>	<b>236,830</b>	<b>9,439</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(12,391)	-	12,391
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(12,391)</b>	<b>-</b>	<b>12,391</b>
<b>Total Requirements</b>	<b>297,992</b>	<b>215,000</b>	<b>236,830</b>	<b>21,830</b>
<b>Full Time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

N/A

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Systems Engineering and Architecture  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	194	167	136	(31)
25.1 Advisory and assistance services	6,406	3,325	4,442	(1,117)
25.2 Other services	80	-	-	-
25.3 Purchases from Gov't accts.	17,240	7,154	7,303	149
25.5 R&D of contracts	10,688	21,824	18,211	(3,613)
<b>Total, Other Object Classes</b>	<b>34,607</b>	<b>32,469</b>	<b>30,091</b>	<b>(2,378)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(2,469)	-	2,469
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(2,469)</b>	-	<b>2,469</b>
<b>Total Requirements</b>	<b>34,607</b>	<b>30,000</b>	<b>30,091</b>	<b>91</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Systems Engineering and Architecture Mission Statement

Systems Engineering and Architecture: DNDO Systems Engineering and Architecture programs are (1) developing an enhanced global nuclear detection architecture, including both domestic and international components, and (2) maintaining and supporting a disciplined systems engineering approach throughout DNDO. The global architecture is comprised of several key elements: a multi-layered structure of radiological/nuclear detection systems, deployed both domestically and overseas; a well-defined and carefully coordinated network of interrelationships among them; and a set of systems engineering-based principles and guidelines governing the architectures design and evolution over time.

### Summary Justification and Explanation of Changes

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel and transportation of persons</b>	<b>194</b>	<b>167</b>	<b>136</b>	<b>(31)</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$136,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	6,406	3,325	4,442	(1,117)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$4,442,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	80	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request is \$0.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accounts	17,240	7,154	7,303	149

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$7,303,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 Research and development of contracts	10,688	21,824	18,211	(3,613)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2013 request is \$18,211,000. DNDO develops time-phased strategies and plans for improving the probability of detecting and interdicting rad/nuc attacks. Studies and analyses are performed to characterize GNDA gaps, identify options, evaluate the advantages and disadvantages of alternative solutions, and formulate time-phased plans for reducing risk. The time-phased aspect of the plans is important because it allows for the integration of current and near-term technologies and approaches, as well as longer-term options that may draw upon technologies that are currently in the R&D phase that may not be available for implementation for several years.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Systems Development  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	56	89	45	(44)
25.1 Advisory and assistance services	12,411	3,136	5,715	2,579
25.2 Other services	2	-	-	-
25.3 Purchases from Gov't accts.	19,948	6,833	6,575	(258)
25.5 R&D of contracts	35,929	45,212	16,003	(29,209)
26.0 Supplies and Materials	73	70	63	(7)
<b>Total, Other Object Classes</b>	<b>68,420</b>	<b>55,340</b>	<b>28,401</b>	<b>(26,939)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(4,340)	-	4,340
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	<b>-</b>	<b>(4,340)</b>	<b>-</b>	<b>4,340</b>
<b>Total Requirements</b>	<b>68,420</b>	<b>51,000</b>	<b>28,401</b>	<b>(22,599)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Systems Development Mission Statement**

Systems Development: DNDO Systems Development is responsible for the engineering development, production, and all developmental logistics products associated with the current and next generation of nuclear detection systems. Product lines include radiation portal monitors (and associated materials development and facilitation), radiography, human-portable systems, and integration programs to address the needs of our operational customers (Federal, State, local, and tribal authorities).

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel and transportation of persons</b>	<b>56</b>	<b>89</b>	<b>45</b>	<b>(44)</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$45,000.

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>12,411</b>	<b>3,136</b>	<b>5,715</b>	<b>2,579</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$5,715,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	2	-	-	-

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request is \$0.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accounts	19,948	6,833	6,575	(258)

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$6,575,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 Research and development of contracts	35,929	45,212	16,003	(29,209)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2013 request is \$16,003,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
31.0 Supplies and materials	73	70	63	(7)

Supplies and materials are defined as commodities that are ordinarily consumed or expended within one year after they are put into use or converted in the process of construction or manufacture. The FY 2013 request is \$63,000.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Transformational Research and Development  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	196	260	223	(37)
25.1 Advisory and assistance services	5,719	2,100	4,019	1,919
25.2 Other services	-	16	31	15
25.3 Purchases from Gov't accts.	39,469	3,690	34,858	31,168
25.5 R&D of contracts	36,470	32,454	43,710	11,256
26.0 Supplies and Materials	39			-
31.0 Equipment	1,468			-
41.0 Grants/Subsidies/Contributions	15,117	3,809	1,056	(2,753)
<b>Total, Other Object Classes</b>	<b>98,478</b>	<b>42,328</b>	<b>83,897</b>	<b>41,569</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(2,328)	-	2,328
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(2,328)</b>	-	<b>2,328</b>
<b>Total Requirements</b>	<b>98,478</b>	<b>40,000</b>	<b>83,897</b>	<b>43,897</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Transformational research and development Mission Statement**

DNDO's transformational and applied R&D program seeks to identify, explore, develop, and demonstrate scientific and technological approaches that meet one or more of the following criteria: address gaps in the GNDA, dramatically improve the performance of nuclear detection components and systems, or significantly reduce the operational burden of rad/nuc detection. Dramatic technological improvements may include improvements in system or component effectiveness and performance characteristics; reduction in cost of acquisition or maintenance; or reduction of operational burden by users in the field. R&D investments are made based on competitive awards, with investigators in all sectors government laboratories academia, and private industry encouraged to participate. This program takes advantage of the qualities and respective advantages of all three sectors to develop products, and teaming among them is encouraged. Transformational and applied R&D is carried out within three major programs: Exploratory Research (ER), Academic Research Initiative (ARI), and Advanced Technology Demonstrations (ATD).

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel and transportation of persons</b>	<b>196</b>	<b>260</b>	<b>223</b>	<b>(37)</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with



Federal travel regulations. The FY 2013 request is \$223,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	5,719	2,100	4,019	1,919

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$4,019,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.2 Other services	-	16	31	15

Other services include report contractual services with non-Federal sources that are not otherwise classified under Object Class 25. The FY 2013 request is \$31,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accounts	39,469	3,690	34,858	31,168

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$34,858,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 Research and development of contracts	36,470	32,454	43,710	11,256

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2013 request is \$43,710,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
41.0 Grants/Subsidies/Contributions	15,117	3,809	1,056	(2,753)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2013 request is \$1,056,000.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Assessments  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	413	573	421	(152)
25.1 Advisory and assistance services	7,129	6,505	5,008	(1,497)
25.3 Purchases from Gov't accts.	27,308	11,430	12,185	755
25.4 Operation and Maintenance of facilities	-	10,152	9,523	(629)
25.5 R&D of contracts	5,665	5,491	5,902	411
41.0 Grants/Subsidies/Contributions	284	4,000	159	(3,841)
<b>Total, Other Object Classes</b>	<b>40,799</b>	<b>38,150</b>	<b>33,198</b>	<b>(4,952)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(150)	-	150
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(150)</b>	-	<b>150</b>
<b>Total Requirements</b>	<b>40,799</b>	<b>38,000</b>	<b>33,198</b>	<b>(4,802)</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Assessments Mission Statement**

Assessments: The DNDO research, development, and acquisition process is anchored by an independent assessment of DNDO-mission related programs as they are developed, deployed, and implemented, as well as a continual assessment of the global nuclear detection and reporting architecture, through a variety of means. Assessments programs include test and evaluation (T&E) campaigns to characterize technologies and systems, execution of pilots with operational agencies to evaluate concepts of operation, red teaming assessments to deepen our understanding of adversary capabilities, and net assessments to identify the effectiveness of the planned and deployed global nuclear detection and reporting architecture.

**Summary Justification and Explanation of Changes**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel and transportation of persons</b>	<b>413</b>	<b>573</b>	<b>421</b>	<b>(152)</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. Travel supports Cross Cutting Functions such as Red Team and Net Assessments, and includes Test and Evaluation Program and Test and Evaluation Operations as well. The FY 2013 request is \$421,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	7,129	6,505	5,008	(1,497)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$5,008,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accounts</b>	27,308	11,430	12,185	755

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. Purchase from Government Accounts includes inter-agency agreements with national laboratories. The FY 2013 request is \$12,185,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.4 Operation and Maintenance of facilities</b>	-	10,152	9,523	(629)

Operation and maintenance of facilities include all payments for the operation and maintenance of facilities when done by contract with the private sector or another Federal Government account. The FY 2013 request is \$9,523,000. The testing of detection systems against special nuclear materials in significant quantities and in realistic configurations is a key assessment of rad/nuc systems.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.5 Research and development of contracts</b>	5,665	5,491	5,902	411

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The DNDO research, development, and acquisition process is anchored by the assessment of DNDO-mission related programs as they are developed, deployed, and implemented. The FY 2013 request is \$5,902,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	284	4,000	159	(3,841)

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2013 request is \$159,000.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
Operations Support  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	360	337	337	-
24.0 Printing	15	-	-	-
25.1 Advisory and assistance services	9,708	10,535	10,325	(210)
25.2 Other services	1	-	-	-
25.3 Purchases from Gov't accts.	21,703	20,490	22,679	2,189
25.5 R&D of contracts	793	4,188	2,179	(2,009)
25.7 Operation and maintenance of equipment	62	65	143	78
26.0 Supplies and materials	14	14	15	1
<b>Total, Other Object Classes</b>	<b>32,656</b>	<b>35,629</b>	<b>35,679</b>	<b>50</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(2,629)	-	2,629
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(2,629)</b>	-	<b>2,629</b>
<b>Total Requirements</b>	<b>32,656</b>	<b>33,000</b>	<b>35,679</b>	<b>2,679</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Operations support Mission Statement**

DNDO Operations Support is responsible for supporting the situational awareness of the nuclear and radiological landscape and the global nuclear detection architecture, while directly facilitating the technical adjudication of rad/nuc incidents. The capability of the JAC is the 24/7 DNDO information hub, and the essence of DNDO's rapid information reporting. Additionally, Operations Support develops training, exercises, information sharing capabilities, and analytical tools necessary to create a fully integrated operating environment to be used by Federal, State, and local law enforcement agencies, as well as the larger intelligence and counterterrorism communities.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel and transportation of persons</b>	<b>360</b>	<b>337</b>	<b>337</b>	-

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$337,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing and reproduction</b>	15	-	-	-

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal entities. The FY 2013 request is \$0.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	9,708	10,535	10,325	(210)

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$10,325,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.2 Other services</b>	1	-	-	-

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$0.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accounts</b>	21,703	20,490	22,679	2,189

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$22,679,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.5 Research and development of contracts</b>	793	4,188	2,179	(2,009)

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2013 request is \$2,179,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	62	65	143	78

Operation and maintenance of equipment includes costs for operation, maintenance, repair, and storage of equipment, when done by contract with the private sector or another Federal Government account. The FY 2013 request is \$143,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	14	14	15	1

Supplies and materials are defined as commodities that are ordinarily consumed or expended within one year after they are put into use or converted in the process of construction or manufacture. The FY 2013 request is \$15,000.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Research, Development, and Operations:  
National Technical Nuclear Forensics Center  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	84	108	118	10
25.1 Advisory and assistance services	3,286	2,101	2,288	187
25.3 Purchases from Gov't accts.	19,347	21,034	22,908	1,874
25.5 R&D of contracts	315	230	250	20
<b>Total, Other Object Classes</b>	<b>23,032</b>	<b>23,473</b>	<b>25,564</b>	<b>2,091</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(473)	-	473
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	<b>(473)</b>	-	<b>473</b>
<b>Total Requirements</b>	<b>23,032</b>	<b>23,000</b>	<b>25,564</b>	<b>2,564</b>
<b>Full Time Equivalents</b>	-	-	-	-

**National Technical Nuclear Forensics Center Mission Statement**

DNDO's National Technical Nuclear Forensics (NTNF) capability serves as an integral component and layer of the United States Government (USG) effort to combat nuclear terrorism. This capability provides means for the collection, analysis, and evaluation of rad/nuc materials and associated evidence for the purpose of comprehensive and timely forensic analysis to contribute to attribution conclusions. An effective forensics and attribution capability will inform national response deliberations and can also help to prevent a follow-on attack. At the strategic level, nuclear forensics can contribute to deterrence and prevention by promoting the concept of nuclear accountability for nations that may wittingly or unwittingly enable a terrorist to obtain nuclear devices or materials.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel and transportation of persons</b>	<b>84</b>	<b>108</b>	<b>118</b>	<b>10</b>

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$118,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	3,286	2,101	2,288	187

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$2,288,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.3 Purchases from Gov't accounts	19,347	21,034	22,908	1,874

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$22,908,000. The National Technical Nuclear Forensics Center (NTNFC) serves as the USG focal point for the National Technical Nuclear Forensics program. The funding increase in the NTNFC PPA supports priorities which are required by Public Law 111-140, Presidential Directive, and the National Strategic Five-Year Plan. Funding will support national Expertise Development, Technology Advancement, and Operational Readiness.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.5 Research and development of contracts	315	230	250	20

Research and Development includes costs for contracts for the conduct of basic and applied research and development. The FY 2013 request is \$250,000. The pre-detonation rad/nuc materials forensics capability development is the NTNFC's primary R&D mission. Forensics is focused on ensuring and advancing the capability to perform rad/nuc materials analysis and evaluation. This involves isotopic and chemical composition and physical structure. This R&D is used to address identified gaps and shortfalls in the capabilities.

## **I. Changes In Full Time Employment**

**N/A**



## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

<b>Program/Project/Activity</b>	<b>FY 2011 Actual Obligations</b>	<b>FY 2012 Enacted Budget Authority</b>	<b>FY 2013 Requested Budget Authority</b>	<b>Increase/Decrease for FY 2013</b>
<b>Total Working Capital Fund</b>	<b>3,063</b>	<b>3,167</b>	<b>4,031</b>	<b>864</b>

The total cost share associated with Office of Procurement Operations (OPO) is distributed between M&A, RD&O and Systems Acquisition.

**K. DHS Balanced Workforce Strategy**

**N/A**

# Department of Homeland Security

## *Domestic Nuclear Detection Office Systems Acquisition*

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Fiscal Year 2013  
Congressional Justification

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# **BUDGET REQUEST AND SUPPORTING INFORMATION**

## **Domestic Nuclear Detection Office Systems Acquisition**

### **I. Appropriation Overview**

#### **A. Mission Statement for Systems Acquisition:**

The Domestic Nuclear Detection Office (DNDO) acquires radiological/nuclear (rad/nuc) detection equipment for other Department of Homeland Security (DHS) Components, including the United States Coast Guard (USCG), Customs and Border Protection (CBP), and the Transportation Security Administration (TSA). In addition, DNDO issues grants under the Securing the Cities Program allowing State, local and tribal authorities in the highest risk metropolitan areas to develop nuclear detection capabilities enabling them to interdict radiological material out of regulatory control. DNDO plays an important role in ensuring that deployed systems are evaluated prior to acquisition decisions, so that the performance capabilities of these systems are well understood. All deployed technologies, for Federal, State and local partners are accompanied by the appropriate concepts of operations (CONOPS) development, training, exercises, and alarm response protocols.

Additionally, DNDO is focusing efforts to develop surge capabilities to detect threats within the context of limited or imperfect intelligence, warnings, or indicators. Ongoing work on the Global Nuclear Detection Architecture (GNDA) emphasizes mobile or agile detection components, which will increase the capability to respond to escalated threat levels by focusing detection assets on effective interdiction. The architecture must account for physical and technical limitations in order to achieve the best strategies, systems, and operations for nuclear detection. DNDO will use existing capabilities and a variety of operations and assets at the Federal, State, local, and tribal levels to surge our rad/nuc detection capabilities in a coordinated fashion in response to suspected threats. The ability to surge rad/nuc detection capabilities will necessarily rely on the multiple State and local law enforcement agencies that are available to perform rad/nuc detection operations using mobile and human-portable sensors.

#### **B. Budget Activities:**

##### **Radiation Portal Monitor Program**

The U.S. land border is the first layer within the GNDA where the United States has full control over detection and interdiction operations. As such, significant effort and resources have been placed since 2004 at this layer, particularly at ports of entry (POEs). After 9/11, considerable concern was raised about the possibility that terrorists could use the enormous volume of cargo flowing into the United States as a pathway for bringing in nuclear material or a nuclear weapon. The Radiation Portal Monitor Program (RPMP) was established by CBP, and later transferred the acquisition aspects to DNDO, with the objectives of deploying monitoring equipment at the United States POEs and providing the scientific and technical expertise to design, acquire, and deploy these systems. CBP retained the operations and maintenance functions of the RPMP program. Additionally, in the SAFE

Port Act, Congress mandated that all containers coming in through the top 22 seaports, by volume, be scanned for radiation. To address this mandate, DNDO has acquired and deployed commercial-off-the-shelf (COTS) first-generation polyvinyl toluene (PVT) RPMs in accordance with CBP priorities, as defined in a joint DNDO/CBP deployment strategy.

A key consideration in rad/nuc detection is the ability to effectively detect threats without impeding the flow of legitimate trade and travel across the border in the most effective and efficient manner. CBP currently scans cargo entering the nation's POEs using Polyvinyl Toluene (PVT) based RPMs that can detect radiation, but cannot distinguish between threat materials and naturally-occurring radioactive material (NORM), such as kitty litter and ceramic tiles. These are often sent for secondary screening where additional PVTs or Radio-Isotope Identification Devices (RIIDs) are utilized.

The FY 2013 RPMP budget request will support the Domestic Airport Deployment project, as a part of the Multi-Pathway Systems and Scanning Integration program. This program directly supports Performance Goal 2.1 as stated in the GNDA Joint Annual Interagency Review 2011: "Deny entry of unauthorized nuclear and radiological materials into the United States at ports of entry." The Domestic Airport Deployment project will develop and field capabilities by optimizing combinations of mobile, fixed, and human portable rad/nuc detection systems for scanning inbound international air cargo at air ports of entry (APOEs). These systems may also provide opportunities to enhance international general aviation (IGA) rad/nuc detection operations, where rad/nuc scanning is conducted using hand-held nuclear detectors. The budget requested for FY 2013 begins the deployment of RPMs to Airports of Entry (APOEs). Initial deployment plans include outfitting APOEs that receive large volumes of international air cargo where chokepoints of cargo flow exist and fixed systems are operationally feasible.

### **Securing the Cities Program**

The objective of the Securing the Cities (STC) Program is to reduce the risk of a rad/nuc attack in high-risk metropolitan areas by evaluating and enhancing regional capabilities to detect and interdict radiological materials out of regulatory control. The New York City (NYC) region was the first to participate in this initiative. The FY 2013 budget request continues the emphasis on supporting State and local nuclear detection operations through a three-phased STC Program. This three phase approach will provide for the implementation of nuclear detection capabilities in select Urban Area Security Initiative (UASI) Tier 1 regions. Risk based objectives will form the cornerstone of DNDO's implementation the domestic layer of the GNDA. Additional resources for the NYC region for the development of enhanced detection, communication, and coordination are included. The three program phases are described below.

#### **Phase I**

DNDO provides a mechanism for cities to develop an initial operating capability to detect and report the presence of rad/nuc materials that are out of regulatory control. This capability utilizes detection equipment, protocols, and personnel and is integrated into and supports the GNDA. During Phase I, efforts will focus on satisfying the immediate needs of State and local agencies in developing baseline detection and reporting capability. DNDO will provide resources that give partners an increased understanding and awareness of the nuclear threat, enhanced regional capabilities to detect and interdict radiological or nuclear threats, and

increased cooperation and coordination among regional jurisdictions and agencies. Initial capabilities include development of CONOPS and alarm adjudication protocols, deployment of equipment, training and exercise support, as well as technical program assistance. Phase I concludes when the region establishes a nuclear detection program encompassing coordinated operations, self-delivered nuclear detection training and exercise capabilities, and puts in place a plan to sustain the program over time in support of the GNDA.

## **Phase II**

DNDO provides additional resources to enhance detection, analysis, communication and coordination that better integrates State and local capabilities with Federal government activities and the GNDA above existing or Phase I levels. In this phase, the Federal government will leverage capabilities established locally in Phase I to partner with State and local jurisdictions to ensure a nationally coordinated response in support of the GNDA. In addition, DNDO will work with the STC partners to define end states for DNDO direct support to State and local activities. Phase II concludes when a region successfully demonstrates its ability to integrate into a national nuclear detection framework in support of the GNDA.

## **Phase III**

DNDO provides indirect support to sustain the program. Although no additional DNDO funding will be provided to the region, DNDO will maintain connectivity with the established local architecture through alarm adjudication and subject matter expertise to provide advice on training, exercise, and other program support. State and local participants will maintain and improve their developed capabilities to support the GNDA using local funds or other Federal government grant funds.

STC aims to produce linkages between implementation sites allowing a comprehensive national security layer. A multi-year engagement is needed for each UASI region to complete Phases I through III, depending on the complexity and needs of the region. However, the project plan for an engagement includes programmatic controls with specific time limits and a 5-year cap for DNDO funding through the first two phases.

The FY 2013 budget request for STC will focus on maturing a second UASI region and will complete directed STC activities within the Newark & New York City (NYC) regions with the funding requested in FY 2013. The model built in the NYC region is a successful architecture and the knowledge gained in this endeavor has allowed DNDO to realize significant efficiencies for future metropolitan areas. Continued operational support for the Newark & NYC Regions is provided through alarm resolution, exercise planning and assessment of capabilities. In transitioning from the Pilot in the NYC region, DNDO has set programmatic controls with specific time and funding limits, and will provide life cycle costs specifically detailing State and local resource requirements.

## **Human Portable Radiation Detection Systems**

Federal, State, and local law enforcement communities all require human portable radiation detection capabilities for illicit nuclear material for their routine and contingency radiation detection missions. DNDO procures rad/nuc detection and identification equipment on behalf of DHS Components and for specific events State and local law enforcement. Human Portable Radiation Detection Systems

(HPRDS) consists of projects supporting multiple users and programs designed to detect and identify rad/nuc threats. The objectives of HPRDS projects are to expand the range of activities and address different types of conveyances and cargo to be scanned for rad/nuc material. HPRDS PPA supports the procurement of multiple types of equipment for CBP, USCG, TSA's Visible Intermodal Prevention and Response (VIPR) teams; procurement of equipment for the Mobile Detection Deployment Program (MDDP), to provide a surge capability in support of nuclear and radiological detection operations; and the Helium-3 ( $^3\text{He}$ ) Shortage Acquisition Program.

The FY 2013 budget request will provide funding to meet the partial fulfillment of technology refresh for the USCG and CBP with enhanced Radio-Isotope Identification Devices (RIIDs), and initiate the acquisition of nuclear detection equipment for boat-to-boat scanning capability. The Small Vessel Standoff Detection (SVSD) Program will improve the efficiency of scanning vessels under 300 tons by providing equipment to conduct stand-off detection for nuclear material. Even though the budget request reflects the deployment of significantly enhanced capability to priority mission areas that will close the gap inherent to the currently-fielded equipment and reflects an ongoing emphasis on detection capabilities that can be surged in response to threat data.

**C. Budget Request Summary:**

The Domestic Nuclear Detection Office requests \$51.455 million in FY 2013 funding for the Systems Acquisition appropriation.



## II. Summary of FY 2013 Budget Estimates by Program/Project Activity (PPA)

### Department of Homeland Security Domestic Nuclear Detection Office Systems Acquisition:

#### Summary of FY 2013 Budget Estimates by Program Project Activity

FY 2013 Request  
(Dollars in Thousands)

Program Project Activity	FY 2011			FY 2012			FY 2013			Increase(+) or Decrease(-) for FY 2013								
	Actual Obligations			Enacted Budget Authority			Requested Budget Authority			Total Changes			Program Changes			Adjustments-to-Base		
	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount	POS	FTE	Amount
Radiation Portal Monitor Program	-	-	26,274	-	-	7,000	-	-	1,355	-	-	(5,645)	-	-	(5,645)	-	-	-
Securing the Cities	-	-	3,736	-	-	22,000	-	-	22,000	-	-	-	-	-	-	-	-	-
Human Portal Radiation Detection Systems	-	-	10,579	-	-	8,000	-	-	28,100	-	-	20,100	-	-	20,100	-	-	-
<b>Total, Systems Acquisition:</b>	-	-	<b>40,589</b>	-	-	<b>37,000</b>	-	-	<b>51,455</b>	-	-	<b>14,455</b>	-	-	<b>14,455</b>	-	-	-
<b>Subtotal, Enacted Appropriations and Budget Estimates</b>	-	-	<b>40,589</b>	-	-	<b>37,000</b>	-	-	<b>51,455</b>	-	-	<b>14,455</b>	-	-	<b>14,455</b>	-	-	-
<b>Less: Adjustments for Other Funding Sources</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net, Enacted Appropriations and Budget Estimates:</b>	-	-	<b>40,589</b>	-	-	<b>37,000</b>	-	-	<b>51,455</b>	-	-	<b>14,455</b>	-	-	<b>14,455</b>	-	-	-

### III. Current Services Program Description by PPA

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Radiation Portal Monitor Program  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Radiation Portal Monitor Program**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>26,274</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>7,000</b>
2013 Adjustments-to-Base	-	-	-
<b>2013 Current Services</b>	-	-	<b>7,000</b>
2013 Program Change	-	-	(5,645)
<b>2013 Total Requested Budget Authority</b>	-	-	<b>1,355</b>
Total Change 2012 to 2013	-	-	(5,645)

The Domestic Nuclear Detection Office (DNDO) requests \$1.355 million in FY 2013 for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

The objective of the Radiation Portal Monitor Program (RPMP) is to acquire and deploy fixed or transportable nuclear detection monitoring equipment to the United States ports of entry (POEs) and providing the scientific and technical expertise to design, acquire, and deploy these systems.

**QHSR Strategic Alignment - RPMP**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR)
  - Mission 1, Preventing Terrorism and Enhancing Security
    - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
      - Objective 1.2.3: Control Movement of CBRN
      - Objective 1.2.4: Protection Against Hostile Use of CBRN

**Radiation Portal Monitor Program**

*Description*

Historically, the Radiation Portal Monitor Program, within the RPMP PPA, has been the source of funding for the acquisition and deployment of fixed portal monitors at the nations’ Land Border and

Sea Ports of Entry (POE). While DNDO will continue to oversee the deployment of remaining Polyvinyl Toluene (PVT) Systems, new acquisition of fixed systems under the Domestic Aviation Deployment Project will take priority in FY 2013. No funding is requested in FY 2013 for the acquisition of new systems at Land Border or Sea POEs.

Background: The U.S. border is the first layer within the Global Nuclear Detection Architecture (GNDA) where the United States has full control over detection and interdiction. As such, over \$630 million has been invested in this layer to provide comprehensive radiological and nuclear (rad/nuc) detection capabilities, POEs. After 9/11, considerable concern was raised about the possibility that terrorists could use the enormous volume of cargo flowing into the United States as a pathway for bringing in nuclear material or a nuclear weapon. By far, the largest mode for incoming cargo is maritime shipping containers, with approximately 11 million containers coming into the country every year, so it was with a sense of urgency that this pathway was addressed. In the SAFE Port Act, Congress mandated that all containers coming in through the top 22 seaports, by volume, be scanned for radiation. DHS is meeting this mandate.

A critical component of the DNDO nuclear detection architecture is a passive radiation detection portal suitable for examining cargo containers, trucks, privately owned vehicles, mail, and bundled cargo. The primary technical challenge associated with the development of such a device is the accurate and rapid detection of radiological and nuclear threat objects and materials, with efficient discrimination of innocent radiating materials from dangerous special nuclear materials. DNDO continues to analyze the suitability of various passive radiation detection portals (fixed or mobile) at POEs, including seaports, land border crossings, and airports; or between POEs.

### **Multi-Pathway Systems and Scanning Integration: Domestic Airport Deployment Project**

#### *Description*

Background: The Domestic Airport Deployment project, as part of the Multi-Pathway Systems and Scanning Integration program will develop and field capabilities by optimizing combinations of mobile, fixed, and human portable rad/nuc detection systems for scanning inbound international air cargo. Note: The GNDA addresses four pathways (aviation, maritime, land border, and interior. Air cargo is an important subset of the aviation pathway. These systems may also provide opportunities to enhance international general aviation (IGA) nuclear detection operations. Aside from international mail and express consignment carrier shipments, almost all rad/nuc scanning of cargo and IGA is conducted using human portable systems. With current and anticipated staffing, CBP will only be capable of scanning a small fraction of the daily inbound international air cargo using human portable systems alone. This program will provide systems that allow more rapid scanning of a much greater volume of air cargo, with potential dual use for enhancing IGA operations, reducing the burden of using handheld equipment as primary scanning equipment in those environments.

To date, initial capabilities to fill air cargo rad/nuc scanning gaps using fixed or mobile systems have been established at several Airports of Entry (APOE) to validate operational feasibility. Lessons will be drawn from those deployments and applied, as appropriate, to the future deployments.

Based on an alternatives analysis for deployment of fixed RPM systems to be conducted in FY 2012, the program will acquire and deploy a limited number of fixed systems to APOEs with heavy volumes

of international air cargo where chokepoints of cargo flows exist and fixed systems are operationally feasible.

Concurrently, analysis, selection, design, development, and testing of mobile/re-locatable systems are being conducted from FY 2012 and into FY 2013, with planned acquisition and deployment to follow.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Securing the Cities  
Program Performance Justification  
(Dollars in Thousands)**

**PPA: Securing the Cities**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>3,736</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>22,000</b>
2013 Adjustments-to-Base	-	-	-
<b>2013 Current Services</b>	-	-	<b>22,000</b>
2013 Program Change	-	-	-
<b>2013 Total Requested Budget Authority</b>	-	-	<b>22,000</b>
Total Change 2012 to 2013	-	-	-

The Domestic Nuclear Detection Office (DNDO) requests \$22.0 million in FY 2013 for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Securing the Cities (STC) designs and implements an architecture for coordinated and integrated detection and interdiction of radiological materials out of regulatory control that may be used as a weapon within a large metropolitan area.

**QHSR Strategic Alignment – Securing the Cities**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR) Mission 1, Preventing Terrorism and Enhancing Security
  - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
    - Objective 1.2.3: Control Movement of CBRN
    - Objective 1.2.4: Protection Against Hostile Use of CBRN

**Securing the Cities Program**

*Description*

The objective of the Securing the Cities (STC) initiative is to reduce the risk of a radiological or nuclear (rad/nuc) attack in high-risk metropolitan areas by enhancing regional capabilities to detect and

interdict radiological material out of regulatory control. This initiative was initiated in the New York City (NYC region.)

The STC Initiative in NYC has been funded since FY 2007. First year activities included planning and evaluation activities to determine the city and region's most critical needs. The second and third years followed with phased capability development and implementation, executed largely through financial support for equipment, installation and integration, supportability, training, exercises, and program management. The fourth year continued with training and culminated in a full-scale exercise in April 2011. Throughout STC's implementation, an assessment of the program's effectiveness in building capabilities has been underway. An interim report published in September 2008 described the business model. A second interim report was completed in January 2011 to be followed by a final report in second quarter of FY 2012. These reports will assess Phase I activities in NYC and indicate the STC initiative has developed a credible region-wide Nuclear Detection program focused on preventing a rad/nuc attack on New York City. A continuation of this assessment effort has resumed and will evaluate Phase II in NYC. DNDO is committed to developing a local NYC nuclear detection architecture plan encompassing Phase I activities to date and quantifying DNDO commitments through Phase II. The architectural plan will define end states in the region and required nuclear detection capabilities that, when deployed, will allow transition into Phase III. DNDO will collaborate with NYC regional entities to develop and implement this architectural plan. Other objectives for Phase II include:

- Communication and information sharing linkages to Federal partners;
- Enhancing mobile detection capabilities along statewide pathways; and,
- Defining integration of State and local capabilities with Federal capabilities.

In FY 2011, DNDO began Phase II deployment in the NYC region based on the work completed over the past four years. The completion of Phase II will mark the transition from direct support from DNDO to the region utilizing local funding or other Federal grants to maintain and further build out the program over time. Direct financial support will no longer be necessary for the NYC region with the funding requested for FY 2013. To date, \$93.25 million of acquisition funding has been specifically obligated for the NYC region. In FY 2012, STC will begin expansion to one additional Urban Area Security Initiative (UASI) jurisdiction by engaging in Phase I activities as detailed above. The phased strategy will enable DNDO to provide Federal assistance to multiple regions at a time expanding capabilities in and further development of the domestic layer of the nuclear detection architecture.

The FY 2013 budget request for STC will focus on maturing a second UASI region in phase I and will conclude STC financial support within the Newark/New York City (NYC) regions at the end of FY 2013. The model built in the region is a successful architecture and the knowledge gained in this endeavor has allowed DNDO to realize significant efficiencies for future metropolitan areas. In transitioning from the Pilot in the NYC region to a phased program, DNDO has set programmatic controls with specific timeframes with a 5-year cap of DNDO funding through the first two phases. . The phased approach provides life cycle costs specifically detailing State and local resource requirements as the program expands to other regions.

Acquisition funds will be utilized to procure, integrate, deploy, test, evaluate, train, and exercise a multi-layer, multi-pathway, multi-jurisdiction nuclear detection and reporting architecture for the region. Funds were also allocated to ensure that detection capabilities are integrated with Federal, State, and local command, control, and communication systems. State and local partners provided in-kind resources by bearing operational costs. Funds were also used for logistics, maintenance, and calibration costs as well as personnel costs to support the training necessary to operate detection equipment and conduct operational exercises. State and local partners are provided with the information they need to appropriately budget for the long-term sustainability of capabilities implemented under this initiative.

DNDO Systems Acquisition funds are dispersed under the STC program through competitively awarded Cooperative Agreements to the State and local agencies participating in the STC program.

DNDO tools to assist STC implementation include:

- Nuclear Detection Community of Interest (COI);
- Preventive Radiological/Nuclear Detection and Adjudication Capability Development Framework and Calculator; and,
- Nuclear Detection National Incident Management System (NIMS) Resource Typing.
- FY 2013 planned activities include: Maintain a dedicated regional STC presence in NYC to facilitate continued growth, program sustainment, and the capture of lessons learned. STC funding in the NYC region will end at the conclusion of FY 2013; and continue Phase I activities in second STC implementation site.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Human Portal Radiation Detection Systems  
Program Performance Justification**  
(Dollars in Thousands)

**PPA: Human Portal Radiation Detection Systems**

	<b>Perm. Pos</b>	<b>FTE</b>	<b>Amount</b>
<b>2011 Actual Obligations</b>	-	-	<b>10,579</b>
<b>2012 Enacted Budget Authority</b>	-	-	<b>8,000</b>
2013 Adjustments-to-Base	-	-	-
<b>2013 Current Services</b>	-	-	<b>8,000</b>
2013 Program Change	-	-	20,100
<b>2013 Total Requested Budget Authority</b>	-	-	<b>28,100</b>
Total Change 2012 to 2013	-	-	20,100

The Domestic Nuclear Detection Office (DNDO) requests \$28.1 million in FY 2013 for this activity.

**CURRENT SERVICES PROGRAM DESCRIPTION:**

Under the Human Portal Radiation Detection Systems PPA, DNDO procures multiple types of equipment for DHS Components and, in some cases, equipment for used by other State and local law enforcement. Solutions are acquired for detecting, localizing, and identifying radiological/nuclear (rad/nuc) materials. The equipment is relatively light, easy to use, and of sufficiently low cost to support widespread deployment. The objectives of Human Portable Radiation Detection Systems (HPRDS) include expanding the range of detection activities and addressing different types of conveyances and cargo to be scanned for rad/nuc material. Projects include all human portable radiation detection devices that can be worn, carried, or moved by an individual; as well as nuclear detection equipment for boat-to-boat scanning. The devices procured are fully developed and most are commercially available.

**QHSR Strategic Alignment – Human Portable Radiation Detection Systems (HPRDS)**

- Department of Homeland Security (DHS) Quadrennial Homeland Security Review (QHSR) Mission 1, Preventing Terrorism and Enhancing Security
  - Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities
    - Objective 1.2.3: Control Movement of CBRN
    - Objective 1.2.4: Protection Against Hostile Use of CBRN



## Human Portable Rad/Nuc Systems Acquisition

### *Description*

DNDO procures multiple types of equipment for DHS Components, such as Customs and Border Protection (CBP), United States Coast Guard (USCG), and Transportation Security Administration (TSA). This equipment includes handheld Advanced Radio-Isotope Identification Devices (RIIDs), Basic Handheld RIIDs, Personal Radiation Detectors used in operations as rad/nuc detection devices, and rad/nuc detection backpacks.

CBP: DNDO coordinates with CBP for the deployment of human portable systems for CBP officers and agents to scan people, cargo, and privately owned vehicles at and between ports of entry. DNDO anticipates transition to next generation basic and advanced RIIDs in FY 2012 and initiating an acquisition program in FY 2013. Commercial off-the-Shelf (COTS) procurement of Personal Radiation Detectors (PRDs) will continue pending other solution development efforts (e.g., Human Portable Tripwire (HPT)).

USCG: In accordance with the cooperatively developed Joint Acquisition Strategy (JAS), DNDO recapitalizes current USCG rad/nuc detection systems and procures new systems to satisfy USCG requirements, which include hundreds of PRDs, RIIDs, and backpack systems. DNDO anticipates limited procurement of next-generation Basic and Advanced RIIDs in FY 2012. Procurement of other components of the HPRDS suite (PRDs and Backpacks) will continue pending other solution development efforts related to those components (e.g., HPT and Wide Area Search (WAS)).

TSA: DNDO supports the needs of TSA Visible Intermodal Prevention and Response (VIPR) Teams for rad/nuc detection equipment, through the HPRDS Interior Capability Development programs by providing teams with PRD pagers, handheld RIIDs, and radiation detection backpacks. Additionally, HPRDS funds are used to sustain in terms of lifecycle replenishment for the equipment of 25 VIPR Teams with the necessary complement of training and exercise support. However, in 2013, there is no funding planned for acquisition of systems for TSA.

HPRDS Improvements project will implement improvements required by DHS Components, to the Advanced Operations RIID and Basic RIID. The Advanced Operations and Basic RIIDs will be initially fielded in FY 2011 and FY 2012. In FY 2013-2017, there will be improvement efforts based on:

- Requirements developed from information collected from users during initial fielding;
- The initial P3I list of potential improvements;
- New findings from Transformational and Applied Research (TAR) studies, such as the Advanced Radiation Detection Materials (ARMD) project; and,
- Improving performance to achieve objective measures.

## **Maritime Small Vessel Standoff Detection Program**

### *Description*

The Small Vessel Standoff Detection (SVSD) program will develop and field a capability to provide standoff rad/nuc detection systems for scanning small vessels (less than 300 gross-tons). Currently, rad/nuc scanning of small vessels is accomplished by boarding the vessel and conducting an inspection with human portable systems. The USCG conducts approximately 75,000 boardings per year of which 86% involve small vessels; however, there are 13 million registered small vessels with 130,000 underway at any given time. DHS estimates that over 80 million people participate in recreational boating, many of whom use boats that are neither registered nor inspected, and there are 110,000 additional commercial fishing vessels classified as small vessels. With current and future force levels, USCG, CBP, and other Federal, State, and local partners are only capable of boarding a small fraction of the daily U.S. small vessel traffic. SVSD addresses a significant vulnerability and will allow Federal, State, and local maritime enforcement officers to increase the rad/nuc scanning capability of small vessels by reducing the need to board each encountered vessel.

SVSD funding in FY 2013 will allow DNDO to begin procurement and fielding of boat-to-boat detection systems to the USCG and CBP. At some ports, during elevated risk conditions, these capabilities will facilitate 100% of small vessels being scanned before entering a port area.

## IV. Program Justification Changes

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Increase 1:** Human Portable Radiation Detection Systems  
PPA: Human Portal Radiation Detection Systems  
Program Increase: Positions 0, FTE 0, Dollars \$20,100

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	8,000
Program Increase							-	-	20,100
<b>Total Request</b>	-	-	<b>10,579</b>	-	-	<b>8,000</b>	-	-	<b>28,100</b>

**Description of Item**

The funding increase of \$20.1 million in the Human Portable Radiation Detection Systems (HPRDS) PPA supports the acquisition of next generation of handheld nuclear detection equipment to DHS Front-Line operations that began in FY 2011 as well as supporting the Small Vessel Standoff Detection (SVSD) program to field capability to provide standoff rad/nuc detection systems for scanning small vessels.

**Justification**

The FY 2013 request supports acquisition of boat-mounted standoff radiation detection systems (Coast Guard's (USCG) requirement for 15 units and approximately 5 units for Customs and Border Protection (CBP)) which will begin to close the largest maritime gap in the Global Nuclear Detection Architecture (GNDA), allowing USCG and CBP to detect threats without boarding vessels and increasing the likelihood of encountering a radiological and nuclear threat before it reaches U.S. population centers or critical infrastructure. Most major U.S. population centers are located on or near the coastline and inland navigable waterways. As a result, much of the U.S. population remains vulnerable to a terrorist attack employing nuclear weapons, improvised nuclear devices, or radiological dispersal devices smuggled aboard small maritime vessels.

The next generation handheld Radiation Isotope Identification Device (RIID), the RadSeeker, developed under a formal acquisition program under DNDO, addresses this gap and other issues with

the legacy GR-135, with overall identification performance at the 97% level as opposed to GR-135 at approximately 50%; identification results provided to the officers in less than 30 seconds (100% improvement) and with a reliable system that has built in calibration, built in diagnostics and a projected annual maintenance cost savings of upwards of \$1,300 per system (\$393 for the RadSeeker versus \$1,693 for the GR-135).

**Impact on Performance (Relationship of Increase to Strategic Goals)**

Based on current cost estimates, this funding will support USCG's requirement for 15 units and 5 units for CBP in FY 2013. The number of small vessels scanned will be significantly increased relative to the numbers currently boarded. At some ports during elevated risk conditions, these capabilities will facilitate 100% of small vessels being scanned before entering a port area.

The funding will also begin to roll out the next generation of basic handheld nuclear detection equipment to CBP. This equipment will enable CBP to maintain current scanning rates while delivering improved operational capability.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Justification of Program Changes**  
(Dollars in Thousands)

**Program Decrease 1:**                    Radiation Portal Monitor Program  
PPA:                                        Radiation Portal Monitor Program  
Program Decrease:                    Positions 0, FTE 0, Dollars \$(5,645)

Funding Profile

	FY 2011 Actual Obligations			FY 2012 Enacted Budget Authority			FY 2013 Requested Budget Authority		
	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)	Pos	FTE	Dollars (\$000)
Current Services Level							-	-	7,000
Program Decrease							-	-	(5,645)
<b>Total Request</b>	-	-	<b>26,274</b>	-	-	<b>7,000</b>	-	-	<b>1,355</b>

**Description of Item**

The funding decrease in the RPMP PPA is a result of a reprioritization of resources to focus on ensuring robust funding for the Maritime Small Vessel Stand-off Detection (SVSD) program in HPRDS. The RPMP FY 2013 budget request exclusively supports the Domestic Airport Deployment project which will develop and field capabilities by optimizing combinations of mobile, fixed, and human portable radiological and nuclear (rad/nuc) detection systems for scanning inbound international air cargo. The focus of acquisition resources for this project in FY 2013 will be the deployment of fixed solutions to aviation Ports of Entry where natural chokepoints facilitate scanning.

**Justification**

With current and anticipated staffing, Customs and Border Protection (CBP) will only be capable of scanning a small fraction of the daily inbound international air cargo using only hand-held nuclear detectors. DNDO’s risk analysis indicates that air cargo is a high risk pathway, relative to other points of entry where fixed detection systems can be deployed.

**Impact on Performance (Relationship of Increase to Strategic Goals)**

An investment of \$1.355M will begin the deployment of fixed systems to significantly increase CBP’s ability to continuously scan inbound international air cargo for rad/nuc threats. By deploying to 11 airports where fixed detectors provide effective coverage, the project will enable CBP to improve scanning operations and increase the effectiveness of scanning inbound international air cargo.

## **V. Exhibits and Other Supporting Material**

### **A. Justification of Proposed Legislative Language**

For expenses for the Domestic Nuclear Detection Office acquisition and deployment of detection systems in accordance with the global nuclear detection architecture, **\$51,455,000**, to remain available until September 30, 2015.

#### **Explanation of Changes:**

No substantive changes included.

## B. FY 2012 to FY 2013 Budget Change

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
FY 2012 to FY 2013 Budget Change  
(Dollars in Thousands)**

	<b>Pos.</b>	<b>FTE</b>	<b>Amount</b>
FY 2011 Actual Obligations	-	-	40,589
FY 2012 Enacted Budget Authority	-	-	37,000
Adjustments-to-Base	-	-	-
Transfers	-	-	-
<b>Total, Transfers</b>	-	-	-
Increases	-	-	-
<b>Total, Increases</b>	-	-	-
<b>Total, Adjustments-to-Base</b>	-	-	-
 FY 2013 Current Services	 -	 -	 37,000
 Program Changes	 -	 -	 -
Increases	-	-	-
Human Portable Radiation Detection Systems	-	-	20,100
<b>Total, Increases</b>	-	-	20,100
Decreases	-	-	-
Radiation Portal Monitor Program	-	-	(5,645)
<b>Total, Decreases</b>	-	-	(5,645)
<b>Total, Program Changes</b>	-	-	14,455
 FY 2013 Requested Budget Authority	 -	 -	 51,455
 FY 2012 to FY 2013 Total Change	 -	 -	 14,455

## C. Summary of Requirements

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Summary of Requirements  
(Dollars in Thousands)**

	Pos.	FTE	Amount
FY 2011 Actual Obligations	-	-	40,589
FY 2012 Enacted Budget Authority	-	-	37,000
Adjustments-to-Base	-	-	-
Total, Adjustments-to-Base	-	-	-
FY 2013 Current Services	-	-	37,000
Program Changes	-	-	-
Increases	-	-	20,100
Decreases	-	-	(5,645)
Total, Program Changes	-	-	14,455
FY 2013 Requested Budget Authority	-	-	51,455
FY 2012 to FY 2013 Total Change	-	-	14,455

Estimates by Program Project Activity	FY 2012			FY 2013			FY 2013			FY 2013			FY 2012 to FY 2013		
	Enacted Budget Authority			Adjustments-to-Base			Program Change			Requested Budget Authority			Total Change		
	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount	Pos	FTE	Amount
Radiation Portal Monitor Program	-	-	7,000	-	-	-	-	-	(5,645)	-	-	1,355	-	-	(5,645)
Securing the Cities	-	-	22,000	-	-	-	-	-	-	-	-	22,000	-	-	-
Human Portal Radiation Detection Systems	-	-	8,000	-	-	-	-	-	20,100	-	-	28,100	-	-	20,100
<b>Total</b>	-	-	<b>37,000</b>	-	-	-	-	-	<b>14,455</b>	-	-	<b>51,455</b>	-	-	<b>14,455</b>



**D. Summary of Reimbursable Resources**

**N/A**

## E. Summary of Requirements By Object Class

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Direct Obligations</b>	-	-	-	-
<b>Personnel and Other Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	31	24	34	10
24.0 Printing	80	36	20	(16)
25.1 Advisory and assistance services	3,982	4,464	2,955	(1,509)
25.3 Purchases from Gov't accts.	566	703	1,186	483
25.5 R&D of contracts	4,987	-	-	-
25.7 Operation and maintenance of equipment	62	16	-	(16)
26.0 Supplies and materials	100	77	265	188
31.0 Equipment	30,782	14,852	27,490	12,638
41.0 Grants/Subsidies/Contributions	-	35,012	19,505	(15,547)
<b>Total, Other Object Classes</b>	<b>40,589</b>	<b>55,224</b>	<b>51,455</b>	<b>(3,769)</b>
<b>Total, Direct Obligations</b>	<b>40,589</b>	<b>55,224</b>	<b>51,455</b>	<b>(3,769)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated balance, end of year	-	-	-	-
Unobligated balance, start of year	-	(18,184)	-	18,184
Recoveries of Prior Year Obligations	-	(40)	-	40
<b>Total, Adjustments</b>	<b>-</b>	<b>(18,224)</b>	<b>-</b>	<b>18,224</b>
<b>Total Requirements</b>	<b>40,589</b>	<b>37,000</b>	<b>51,455</b>	<b>14,455</b>
<b>Full Time Equivalents</b>	-	-	-	-

## **F. Permanent Positions by Grade**

**N/A**

## **G. Capital Investment and Construction Initiative Listing**

**N/A**

## H. PPA Budget Justifications

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Radiation Portal Monitor Program  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	23	6	24	18
25.1 Advisory and assistance services	600	160	269	109
25.5 R&D of contracts	4,987	-	-	-
25.7 Operation and maintenance of equipment	62	16	-	(16)
31.0 Equipment	20,602	6,818	1,062	(5,756)
<b>Total, Other Object Classes</b>	<b>26,274</b>	<b>7,000</b>	<b>1,355</b>	<b>(5,645)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(-)	-	-
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	(-)	-	-
<b>Total Requirements</b>	<b>26,274</b>	<b>7,000</b>	<b>1,355</b>	<b>(5,645)</b>
<b>Full Time Equivalents</b>	-	-	-	-

### Radiation Portal Monitor Program Mission Statement

The Radiation Portal Monitor (RPM) Program was established at CBP in January 2002 with the objective of deploying RPMs at ports of entry (POEs) and providing the scientific and technical expertise to design, acquire, deploy, operate and maintain these systems. In 2005, DNDO assumed the responsibility of designing, acquiring and deploying the systems, and it has established a Ports of Entry program to work with CBP to bring the latest technology to bear on the threat of illicit nuclear materials crossing our borders. This program procures equipment to meet the needs of end-users, in accordance with the Global Nuclear Detection Architecture (GNDA). The RPMP was established with the objectives of deploying RPMs at United States ports of entry (POEs), and providing the scientific and technical expertise to design, acquire, and deploy these systems. As the Department of Homeland Security (DHS) works to keep the major seaports and northern and southwest land borders safe using radiological/nuclear (rad/nuc) detection capabilities, the Domestic Nuclear Detection Office (DNDO) continues to address the vulnerabilities in other locations and pathways.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>21.0 Travel</b>	23	6	24	18

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$24,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	600	160	269	109

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$269,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.7 Operation and maintenance of equipment</b>	62	16	0	(16)

The FY 2013 request is \$0.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	20,602	6,818	1,062	(5,756)

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request is \$1,062,000. This funding will support acquisition of a limited number of fixed air cargo radiation detection systems to specified high-volume international air cargo chokepoints at APOEs.

**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Securing the Cities**  
Summary of Requirements by Object Class  
(Dollars in Thousands)

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
21.0 Travel	8	18	10	(8)
24.0 Printing	80	36	20	(16)
25.1 Advisory and assistance services	3,223	4,180	2,100	(2,080)
25.3 Purchases from Gov't accts.	425	700	365	(335)
41.0 Grants/Subsidies/Contributions	-	35,052	19,505	(15,547)
<b>Total, Other Object Classes</b>	<b>3,736</b>	<b>39,986</b>	<b>22,000</b>	<b>(17,986)</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(17,946)	-	17,946
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	(40)	-	40
<b>Total, Adjustments</b>	<b>-</b>	<b>(17,986)</b>	<b>-</b>	<b>17,986</b>
<b>Total Requirements</b>	<b>3,736</b>	<b>22,000</b>	<b>22,000</b>	<b>0</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Securing the Cities Mission Statement**

The objective of the Securing the Cities (STC) initiative is to reduce the risk of a radiological or nuclear attack in high-risk metropolitan areas by enhancing regional capabilities to detect and interdict radiological material out of regulatory control. This initiative was initiated in the New York City (NYC region.) Acquisition funds were utilized to procure, integrate, deploy, test, evaluate, train, and exercise a multi-layer, multi-pathway, multi-jurisdiction nuclear detection and reporting architecture for the region. Funds were also allocated to ensure that detection capabilities are integrated with Federal, State, and local command, control, and communication systems. State and local partners provided in-kind resources by bearing operational costs. Funds were also used for logistics, maintenance, and calibration costs as well as personnel costs to support the training necessary to operate detection equipment and conduct operational exercises. DNDO Systems Acquisition funds are dispersed under the STC program through competitively awarded Cooperative Agreements to the State and local agencies participating in the STC program.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
21.0 Travel	8	18	10	(8)

Travel includes all costs of transportation of persons, subsistence of travelers, an incidental travel expenses in accordance with Federal travel regulations. The FY 2013 request is \$10,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>24.0 Printing</b>	<b>80</b>	<b>36</b>	<b>20</b>	<b>(16)</b>

Printing includes all costs for printing and reproduction obtained from the private sector or from other Federal agencies. The FY 2013 request is \$20,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.1 Advisory and assistance services</b>	<b>3,223</b>	<b>4,180</b>	<b>2,100</b>	<b>(2,080)</b>

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$2,100,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	<b>425</b>	<b>700</b>	<b>365</b>	<b>(335)</b>

Purchases from government accounts include costs for purchases from other Federal government agencies or accounts that are not otherwise classified. Funds will be used for installation, integration, and deployment activities at ports of entry and other domestic locations, as outlined in the current services section. The FY 2013 request is \$365,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>41.0 Grants/Subsidies/Contributions</b>	<b>0</b>	<b>35,052</b>	<b>19,505</b>	<b>(15,547)</b>

Grants/Subsidies/Contributions includes cash payments to States, other political subdivisions, corporations, associations, individuals, and contributions to foreign countries, international societies, commissions, proceedings, or projects. The FY 2013 request is \$19,505,000.



**Department of Homeland Security  
Domestic Nuclear Detection Office  
Systems Acquisition:  
Human Portal Radiation Detection Systems  
Summary of Requirements by Object Class  
(Dollars in Thousands)**

Object Classes	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>Personnel and Compensation Benefits</b>	-	-	-	-
<b>Other Object Classes</b>	-	-	-	-
25.1 Advisory and assistance services	159	124	586	462
25.3 Purchases from Gov't accts.	140	3	821	818
26.0 Supplies and materials	100	77	265	188
31.0 Equipment	10,180	8,034	26,428	18,394
<b>Total, Other Object Classes</b>	<b>10,579</b>	<b>8,238</b>	<b>28,100</b>	<b>19,862</b>
<b>Adjustments</b>	-	-	-	-
Unobligated Balance, start of year	-	(238)	-	238
Unobligated Balance, end of year	-	-	-	-
Recoveries of Prior Year Obligations	-	-	-	-
<b>Total, Adjustments</b>	-	(238)	-	238
<b>Total Requirements</b>	<b>10,579</b>	<b>8,000</b>	<b>28,100</b>	<b>20,100</b>
<b>Full Time Equivalents</b>	-	-	-	-

**Human Portal Radiation Detection Systems Mission Statement**

DNDO procures multiple types of equipment that provide Department of Homeland Security (DHS) components, and in some cases, law enforcement and first responders with effective human portable systems for radiological/nuclear (rad/nuc) detection and identification. These solutions are used for detecting, localizing, and identifying rad/nuc materials, and they are relatively light, easy to use, and of sufficiently low cost to support widespread deployment. The objectives of the HPRDS project are to expand the range of activities and address different types of conveyances and cargo to be scanned for rad/nuc material. Projects include all human portable radiation detection devices that can be worn, carried, or moved by an individual. The devices are fully developed and most are commercially available.

**Summary Justification and Explanation of Changes**

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
25.1 Advisory and assistance services	159	124	586	462

Advisory and assistance services include services acquired by contract from non-Federal sources (that is the private sector, foreign governments, State and local governments, tribes, etc.) as well as from other units within the Federal Government. The FY 2013 request is \$586,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>25.3 Purchases from Gov't accts.</b>	140	3	821	818

Purchases from Government Accounts include costs for purchases from other Federal Government agencies or accounts that are not otherwise classified. The FY 2013 request is \$821,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>26.0 Supplies and materials</b>	100	77	265	188

Supplies and materials are defined as commodities that are (a) ordinarily consumed or expended within one year after they are put into use, (b) converted in the process of construction or manufacture, (c) used to form a minor part of equipment or property, or (d) other property of little monetary value that does not meet any of the three criteria listed above, at the option of the agency. The FY 2013 request is \$265,000.

	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	FY 2012 to FY 2013 Change
<b>31.0 Equipment</b>	10,180	8,034	26,428	18,394

Equipment includes all costs for the purchases of personal property of a durable nature or the initial installation of equipment when performed under contract. The FY 2013 request is \$26,428,000. The funding increase of the Human Portable Radiation Detection Systems (HPRDS) PPA supports DHS's mandate to recapitalize 100% of Customs and Border Protection Basic Radio-Isotope Identification Devices to Next Generation devices by FY 2014. The presently-deployed have known technical limitations and are approaching or past their anticipated shelf lives. HPRDS funding also provides for human portable nuclear detectors for the Transportation Security Administration and the U.S. Coast Guard.

**I. Changes In Full Time Employment**

N/A

## J. FY 2013 Schedule of Working Capital Fund by Program/Project Activity

FY 2013 Schedule of Working Capital Fund by Program/Project Activity  
(Dollars in Thousands)

Program/Project/Activity	FY 2011 Actual Obligations	FY 2012 Enacted Budget Authority	FY 2013 Requested Budget Authority	Increase/Decrease for FY 2013
Radiation Portal Monitor Program	0	48	8	(40)
Securing the Cities	163	151	138	(13)
Human Portal Radiation Detection Systems	82	55	176	121
<b>Total Working Capital Fund</b>	<b>245</b>	<b>254</b>	<b>322</b>	<b>68</b>

The total cost share associated with Office of Procurement Operations (OPO) is distributed between M&A, RD&O and Systems Acquisition.

**K. DHS Balanced Workforce Strategy**

**N/A**